DOCUMENT RESUME

ED 163 850 HE 010 664

AUTHOR	Sprunger, Benjamin E.; Bergquist, William H.
TITLE	Handbook for College Administration.
INSTITUTION	Council for the Advancement of Small Colleges, Washington, D.C.
SPONS AGENCY	Kellogg Foundation, Battle Creek, Mich.
PUB DATE	78
NOTE	350p.
AVAILABLE FROM	Council for the Advancement of Small Colleges, Suite 320, One Dupont Circle, Washington, D.C. 20036 ($15.00)
EDRS PRICE	MF-$0.83 Plus Postage. HC Not Available from EDRS.
DESCRIPTORS	Administrative Organization; Administrative Personnel; Administrator Education; *Administrator Guides; Board Administrator Relationship; Chief Administrators; *College Administration; *College Planning; Committees; *Higher Education; Leadership; Leave of Absence; *Management; Models; Occupational Information; Personnel Policy; Personnel Selection; Presidents; Professional Training; Questionnaires; Teacher Administrator Relationship; Workshops
IDENTIFIERS	MODEL-NETICS; Professional Development

ABSTRACT

The result of two years of program experimentation, research, and writing, this handbook is the fourth in a series of practical guides for college faculty and administrators who wish to improve the quality of teaching, learning, and management in their institutions. In Chapter 1 the roots of modern management are traced back thousands of years and it is argued that management is an honorable and essential human enterprise. Principles of administration are discussed and collegiate administration is seen as a management process involving six key functions, which are systematically treated in the subsequent six chapters of the handbook. Chapter 2 provides a general perspective on institutional planning. In Chapter 3 the function of organizing is discussed, along with the factors that influence it, and the three basic organizations with which the chief administrative officer must work: the board of trustees, the administrative structure and the committee structure. Staffing is addressed in Chapter 4, including personnel planning, formulating job descriptions, locating candidates, and assessing and selecting applicants. Chapter 5 deals with the function of leading, and evaluating is the focus of Chapter 6. The handbook concludes in Chapter 7 with a statement about the vital role that developing professional, personal, and organizational skills can play in a comprehensive personnel program. Numerous practical suggestions for programming are offered. Appended are documents on career development leaves, discussions about work, a management development plan, administrative development workshop designs, and MODEL-NETICS: a management training program. (LBH)

ED163850

Handbook for College Administration

by
Benjamin E. Sprunger
William H. Bergquist

Gary H. Quehl, General Editor

"PERMISSION TO REPRODUCE THIS MATERIAL IN MICROFICHE ONLY HAS BEEN GRANTED BY
CASC
TO THE EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC) AND USERS OF THE ERIC SYSTEM."

U.S. DEPARTMENT OF HEALTH, EDUCATION & WELFARE
NATIONAL INSTITUTE OF EDUCATION
THIS DOCUMENT HAS BEEN REPRODUCED EXACTLY AS RECEIVED FROM THE PERSON OR ORGANIZATION ORIGINATING IT. POINTS OF VIEW OR OPINIONS STATED DO NOT NECESSARILY REPRESENT OFFICIAL NATIONAL INSTITUTE OF EDUCATION POSITION OR POLICY

HE010664

CASC

PUBLISHED BY THE COUNCIL FOR THE ADVANCEMENT OF SMALL COLLEGES
Washington, D.C.

Copyright © Council for the Advancement of Small Colleges 1978
One Dupont Circle, Suite 320
Washington, DC 20036

All rights reserved. No past of this
handbook may be reproduced in any form
without permission from the publisher.

Library of Congress Catalog Card Number 78-67017

Designed by Brooke Todd & Associates
Printed in the United States of America

Table of Contents

- **Chapter 1: College Administration: Its Past and Potential 3**
- THE HISTORICAL ROOTS OF MANAGEMENT 3
- MODERN MANAGEMENT IN HIGHER EDUCATION 4
  - The Role of the College Administrator 4
  - The Growth of Specialization in Collegiate Administration 5
- PRINCIPLES OF COLLEGIATE ADMINISTRATION 7
  - Administration as a Process of Management 7
  - The Functions of Administration 8
    - Planning 8
    - Organizing 9
    - Staffing 10
    - Leading 10
    - Evaluating 10
    - Developing 10
- THE CHALLENGES OF COLLEGE ADMINISTRATION 11
- NOTES 11
- DOCUMENTS 13
  - 1-1: Principles of College Administration 14

- **Chapter 2: Planning 27**
- BASIC TERMINOLOGY 27
- GOALS OF PLANNING 27
- LIMITATIONS OF PLANNING 28
- BASIC ASSUMPTIONS ABOUT PLANNING 28
- PLANNING PROCESSES 29
  - People 29
  - Data 30
  - Processes 31
- STARTING POINTS 33
- NOTES 34
- DOCUMENTS 35
  - 2-1: Linear Planning Model 36
  - 2-2: A College Planning Cycle 40
  - 2-3: Administrative Level and Time-Span Planning Chart 44
  - 2-4: Tips on Proposal Writing 46

- **Chapter 3: Organizing 49**
- FACTORS THAT INFLUENCE ORGANIZATION 49
- THE BOARD OF TRUSTEES 50
  - Authority and Responsibilities 50
  - Board Composition 52
  - Board Operations 52
- THE ADMINISTRATIVE STRUCTURE 53
  - Departmentalization 53
  - Span of Control 53
  - Organizational Charts and Manuals 54

COMMITTEES 55
- Advantages and Disadvantages 56
- Effectiveness of Committees 56

AUTHORITY AND ACCOUNTABILITY 58
- Types of Authority 58
- Authority and Power 58
- Delegation 58
- Position Descriptions 61
- Accountability Without Authority 61

NOTES 61

DOCUMENTS 63
- 3-1: Model Bylaws for Independent Colleges 64
- 3-2: Analysis of Trustees Strengths, Potential Contribution, and Constituencies Represented 75
- 3-3: Keeping Trustees Informed 77
- 3-4: Organizational Charts 80
- 3-5: Organizational Manuals 89
- 3-6: Role Definition 96
- 3-7: Role Specification Form 103
- 3-8: Position Description Format 110

Chapter 4: Staffing 115

PERSONNEL SELECTION 115
- Planning and Forecasting 115
- Job Specifications 116
- Position Descriptions 117
- Locating Applicants 118
- Assessment of Applicants 118
- Selection of Final Candidate 120
- Selling the Candidate on the Job 122

PERSONNEL AND STAFFING PRACTICES 123
- The Indispensable Person Problem 123
- Promotions 123
- Compensation 124
- Tenure 124
- Affirmative Action 125
- Grievance Procedures 125
- Termination 125

NOTES 126

DOCUMENTS 127
- 4-1: Forecasting Personnel Needs: Department Planning Tools 128
- 4-2: The Critical Incident Technique 134
- 4-3: Position Questionnaire and Job Specification Preparation Procedure 137
- 4-4: Authorization for Recruitment of Personnel 143
- 4-5: Announcement and Distribution of Vacancy Notices 146
- 4-6: Sample Job Application Form 149
- 4-7: The Screening Process 155
- 4-8: Procedures for Interviewing 157
- 4-9: Selection Decision Reports 162
- 4-10: Sample Recruitment Letters 169
- 4-11: Summary Report of Recruitment Activities 172
- 4-12: Appointment of Personnel 176
- 4-13: Sample Grievance Procedures 180
- 4-14: Job Satisfaction Questionnaire 196

Chapter 5: Leading 205

LEADERSHIP 205

  - Theories of Leadership 205
  - Motivational Theory 207
  - The Importance of Adult Development Stages 209
- COMMUNICATION 211
- NOTES 213
- DOCUMENTS 215
  - 5-1: The Dilemma of Power 216
  - 5-2: Team Building: FIRO Model 226
  - 5-3: Parking Lot 229
  - 5-4: Creating an Environment for Change 239

Chapter 6: Evaluating 243
- MONITORING 243
  - Key Elements 243
  - Monitoring Through Budget 244
  - Nonbudget Monitoring Techniques 244
    - Personal Observation 244
    - Special Reports 244
    - Consultant Audits 245
    - Time-Event Charts 245
  - Basic Elements of Monitoring 247
- EVALUATION OF COLLEGE ADMINISTRATORS 247
  - Functions of Administrator Evaluation 247
  - Problems of Administrator Evaluation 248
  - Six Approaches to Administrator Evaluation 249
    - Unstructured Narration 249
    - Unstructured Documentation 249
    - Structured Narration 249
    - Rating Scales 249
    - Structured Documentation (Portfolios) 250
    - Management-by-Objectives (MBO) 251
- A CAUTIONARY NOTE 251
- NOTES 251
- DOCUMENTS 253
  - 6-1: A Program for Improving Departmental Effectiveness 254
  - 6-2: Ratings of Ideal and Actual Performance of an Administrator 256
  - 6-3: Descriptions of Administrators 268
  - 6-4: Survey of College Administration Rating Scales 275
  - 6-5: Performance Evaluation Forms (General) Sample 1 286
  - 6-6: The DECA System: Faculty Ratings of Department Chairperson/Head 297

Chapter 7: Developing 305
- ELEMENTS OF ADMINISTRATOR DEVELOPMENT 305
  - Professional Development 305
    - Diagnosis 305
    - Job Development 308
    - Management Development: Personnel and Resources 309
  - Personal Development 310
    - Discussions About Work 310
    - Professional and Life Planning 310
    - Interpersonal Skills Training 311
    - Personal Growth Workshops 311
    - Supportive and Therapeutic Counseling 312
  - Organizational Development 312
    - Process Consultation 313
    - Team Building 313

        Intergroup Consultation 313
        Survey-Feedback Activities 313
        Structural-Technical Consultation 314
COMPREHENSIVE ADMINISTRATOR DEVELOPMENT 314
FUTURE DIRECTIONS FOR ADMINISTRATOR DEVELOPMENT 314
AN AGENDA FOR ADMINISTRATOR DEVELOPMENT 317
NOTES 317
DOCUMENTS 319
    7-1: Career Development Leaves 320
    7-2: Discussions about Work 323
    7-3: Management Development Plan 326
    7-4: Administrative Development Workshop Designs 327
    7-5: MODEL-NETICS: A Management Training Program 333

FIGURES

1-1: Management as a System Draws on Many Areas and Disciplines 7
1-2: Simplified Version of Mackenzie's Model of the Management Process 9
1-3: Six-Function Management Model 10
3-1: Departmentalization Using Various Types of Categorization 53
3-2: Possible Interrelationships as Subordinates Are Added 54
3-3: Organizational Chart 55
3-4: Scalar Chain of Authority 58
3-5: Line-Staff Conflicts 59
3-6: Policy vs. Task Activities at Different Levels 59
4-1: Person-Job Overlay 118
4-2: Guidelines for Interview Questions 119
4-3: Personnel Inventory Chart 124
5-1: Continuum of Leadership Behavior 206
5-2: Maslow's Hierarchical Need Pyramid 208
6-1: Feedback Loop of Management Control 244
6-2: Similarities Between Key Budget Areas of Business and Higher Education 245
6-3: Time-Event Charting 246
7-1: A Developmental Sequence for College Administrators 306
7-2: Components of Effective Administrator Development 307
7-3: A Developmental Agenda for College Administrators 317

About the Authors

Benjamin E. Sprunger

Benjamin E. Sprunger received his B.S. and M.S. from Ball State University and his Ph.D. from Michigan State University. Past positions include Associate Dean and Assistant to the President at Wheaton College; Senior Planner, National Institute of Education; President, Bluffton College. Currently he is President of the Ohio Foundation of Independent Colleges. Dr. Sprunger's management experience includes teaching, writing, consulting, and participating in numerous educational, business, and religious management situations. He has served on state and national association boards, served as an elected school board member, served on regional, national, and bi-national church boards, and is active in business.

William H. Bergquist

William H. Bergquist is an independent consultant in higher education who resides in Berkeley, Calif. He has worked extensively with the Council for the Advancement of Small Colleges over the past four years in such areas as faculty, curriculum, and administrator development. Dr. Bergquist is currently serving as Dean of the CASC national experimental college program and has co-authored CASC's two volumes of *A Handbook for Faculty Development* and *Developing the College Curriculum*. Along with William Shoemaker of CASC, he has co-edited *A Comprehensive Approach to Institutional Development* and is a co-author of *Designing Teaching Improvement Programs*. William Bergquist has consulted with over a hundred colleges and universities, consortia, regional agencies, and national associations in many different areas of collegiate life.

Preface

The Council for the Advancement of Small Colleges is pleased to share the results of two years of program experimentation, research, and writing on the important topic of college administration and management. This *Handbook* is the fourth in a series of practical guides for college faculty and administrators who wish to improve the quality of teaching, learning, and management in their institutions.

In many ways, this *Handbook* is similar to the volume that immediately preceded it (*Developing the College Curriculum*, 1977): it offers a selective but sound approach to the theory and practice in the field. It also resembles two earlier CASC publications (*A Handbook for Faculty Development*, two volumes, 1975-77) in providing a rich array of practical materials that can be used to improve methods and procedures.

Who will be interested in using this *Handbook*? We hope it will be of interest to both the beginning and the advanced student of American higher education, as well as the neophyte and seasoned college administrator. While the more experienced student and practitioner may already be familiar with the information provided in the text, all will find the *Documents* at the end of each chapter to be useful in improving management and administrative practices. Most of these *Documents* have been drawn from current college and university experience and represent excellent practical resources for those interested in collegiate administration.

In Chapter 1 the authors trace the roots of modern management back thousands of years and argue that management is an honorable and essential human enterprise. They then discuss principles of administration and urge that collegiate administration be viewed as a management process involving six key functions, which are systematically treated in the subsequent six chapters of the *Handbook*. Chapter 2 provides a general perspective on institutional *planning* and, rather than encouraging the adoption of a particular approach or system, stresses the nature and importance of this function. Chapter 3 turns to the function of *organizing*, the factors that influence it, and the three basic organizations with which the chief administrative officer must work: the board of trustees, the administrative structure, and the committee structure. In Chapter 4 the authors bring clarity to the function of *staffing* and provide assistance to those who are responsible for it. Personnel planning, formulating job specifications and position descriptions, locating candidates, and assessing and selecting applicants are all treated in this chapter. Chapter 5 moves to the important function of *leading*. Principles, theories, and suggestions that have been helpful to college and university administrators in their daily practice of leading and communicating are presented.

Planning, organizing, staffing, and leading give substance to the movement toward the mission of a college or university. However, it is the *evaluating* function, the subject of Chapter 6, that provides evidence that these actions fit plans. The *Handbook* concludes in Chapter 7 with a strong and inviting statement about the vital role that *developing* professional, personal, and organizational skills can play in a comprehensive personnel program. Numerous practical suggestions for programming are offered, and the authors present a look to future development needs of college administrators as well.

Throughout the *Handbook*, the generic "he" has been used in referring to college personnel. This usage in no way implies a lack of awareness of or sympathy for the growing attempt by women to gain their rightful place, both in colleges and universities and in society as a whole. The intent is not to slight this movement but simply to avoid stylistic awkwardness and elaborate circumlocutions.

This *Handbook* is dedicated to the many individuals and organizations whose research and practice have formed the basis for much of its content. Many of their names appear in the text, as well as in the *Notes* at the end of each chapter. In this regard, Harold Hook and Michael Poulas of Main Event Management Corporation are particularly acknowledged for their significant contributions to management theory and practice.

We also give special thanks to three colleagues who made major contributions to editing and producing the *Handbook*. Daniel Pilon provided essential assistance in preparing the final text for Chapter 2. Martha Christian helped in the design of the *Handbook*, set the stage for its production, and edited the *Documents*. Susan Hunt provided patience and skill in editing the text, in moving the *Handbook* to production, and in having it read as it does.

Finally, we were privileged to receive financial support from a foundation that is well-known for its commitment to American colleges and universities: this publication, and the administrator development project on which it is based, was supported by a grant from the W. K. Kellogg Foundation of Battle Creek, Michigan.

September, 1978
Washington, D.C.

Gary H. Quehl
President

Chapter 1

College Administration: Its Past and Potential

One must learn by doing the thing, for though you think you know it–you have no certainty until you try.
Sophocles

The contemporary college administrator faces a complex and challenging world. On the one hand, he must deal with the ever-changing needs and demands of students, faculty, fellow administrators, trustees, alumni, and the general public. On the other, his capacity to respond to change diminishes daily as constraints imposed by governmental regulation increase, and institutional mission and priorities become diffused. And always he must make difficult and unpopular decisions as individuals and groups compete for the same scarce resources.

These conditions are not unique to colleges and universities. They affect all social institutions. Nevertheless, the college administrator works within a context that is neither clearly defined nor clearly understood. He must confront problems from an overly constricted role and often does not have access to the principles that might help him to resolve them. Of all environments, his is perhaps the most difficult in which to bring about effective institutional management and leadership.

This *Handbook* addresses problems in the collegiate environment by focusing on administration as a management process that is similar to, but distinctive from, management in business and other types of service organizations. We have chosen to present a systematic approach to the various component functions of college and university administration: Following the introductory material in Chapter 1, each chapter offers a brief review and analysis of one major management function. At the end of each chapter, we provide a number of practical aids designated as *Documents*, which are intended to assist the college administrator to improve management procedures and methods. Most of these *Documents* have been drawn from current college and university experience and, we believe, represent excellent practical resources for students and practitioners of collegiate administration.

In Chapter 1 we set the stage for what follows. We argue that management is an honorable and essential human enterprise that reaches back thousands of years. After briefly showing that modern management has its roots deeply embedded in the past, we turn to management in American higher education and give particular attention to the role of the college administrator and the growth of specialization in collegiate administration. We then discuss principles of administration and urge that collegiate administration be viewed as a managerial process that essentially involves six key functions. It is these functions that are systematically treated in the subsequent chapters of the *Handbook*. We conclude the chapter by looking briefly at the challenges of collegiate administration and refer to two sources of important principles that may help the college administrator more effectively handle the personal problems and potentials inherent in modern management.

THE HISTORICAL ROOTS OF MANAGEMENT

Management has always been a basic building block of society in all human endeavors involving two or more people. Indeed, many of today's management practices were initiated in antiquity. For example, the writings of the Sumerians provide a glimpse into the management practices of 3000 B.C., revealing the importance of accurate accounts and controls as primary functions of "stewards," the title given to managers in the twentieth century B.C. Also, Hammurabi's Code set forth 250 laws on such topics as real estate trade, control of assets, delegation, assignment of responsibility, minimum wage, and even how to administer a nation.

Nebuchadnezzar, who rebuilt Babylon about 1,500 years after Hammurabi's death, introduced simple but accurate methods of production control and inventory, some of which are still used today. His skill in planning and organizing probably played a part in the construction of the famous Hanging Gardens and the tallest buildings in the world at that time. The Pharaoh's overseers must also be listed among the great managers. They supervised hundreds of thousands of workers and slaves who quarried stones, cut them to exact size miles away from construction sites, shipped them by large barges down the Nile, and finally built the pyramids.

The Bible gives the story of Moses learning the art of delegation from his father-in-law, and from the Chinese one can read the treatises on planning strategy. The ancient Greeks gave staff selection some thought, as evidenced by Socrates' discourses: "Over whatever a man may preside, he will, if he knows what he needs and is able to provide it, be a good president, whether he have the direction of a chorus, a family, a city or an army." He went on to caution against despising

> . . . men skillful in managing a household; for the conduct of private affairs differs from that of public concerns only in magnitude; in other respects they are similar; but what is most to be observed is that neither of them are managed without men, and that private matters are not managed by one species of men, and public matters by another; for those who conduct public business make use of men not at all differing in nature from those whom the managers of private affairs employ; and those who know how to employ them, conduct either private or public affairs judiciously, while those who do not know will err in the management of both.[1]

To the governing and military structures of various other early nations and to the Roman Catholic Church, we are indebted for many of the oldest management writings and the systematic use of management principles. Most notable of these contributions are planning and organizing, which include delegation, chain of command, the scalar principle, staff counsel, and control. However, it was during the rise of the Industrial Revolution in the late eighteenth and early nineteenth centuries that the role of management received serious attention and inspired voluminous writings that produced modern management theory and practice.

MODERN MANAGEMENT IN HIGHER EDUCATION

Although managing a college or university may seem to have little in common with overseeing the construction of the pyramids or supervising workers in a nineteenth century textile factory, many of the same skills are required—and more. Without administrators acquiring resources, coordinating activities, and designing and maintaining an environment in which faculty and other individuals can work cooperatively to further the education of students, the small independent college, community college, or multi-university could not exist as we know it today.

Unfortunately, many people within the higher education community believe that administration is an imposition on the teaching and resource functions of a college or university. Yet management is—or should be—a very human endeavor operating in a dynamic environment. Management involves people working together to accomplish mutually beneficial goals and group objectives. All organizations, whether they be schools, universities, hospitals, government agencies, unions, charitable organizations, or industries, have administrators or managers who are responsible for planning, organizing, staffing, leading, controlling, and developing. And, in addition, administrators are charged with fiduciary responsibility for the assets of the organization.

"The college administrator works within a context that is neither clearly defined nor clearly understood."

Specifically, administrators and managers are responsible for: (1) assuring that the mission and goals of the organization are current, viable, and operational; (2) maintaining a flexible organization that can respond to changing needs; (3) obtaining, maintaining, utilizing, and controlling resources; (4) providing an equitable flow and distribution of services; and (5) meeting both the internal and external expectations of the supporting constituents. Given these wide-ranging responsibilities, the ambivalence that many people—even some administrators—feel toward administration and management is understandable.

The Role of the College Administrator

The role of the college administrator is difficult even under the best of conditions. In general, his role is usually either ambiguous or restrictive.[2] On the one hand, some high-level college administrators who occupy traditional roles of power and influence clearly "run" their colleges. In this role, however, they often find themselves hemmed in on every side by both the personal expectations of people with whom they work and the formal and informal organizational structures through which the institution operates. In such a position, the administrator is not unlike the police officer George Orwell describes in "Shooting an Elephant"—Although he does not want to kill the elephant, he has to do it because it is expected of him.[3] The influential, powerful college administrator must also perform many unpleasant tasks—for example, cutting back on the size of the faculty because of reduced revenues—because he has been assigned ultimate responsibility for tasks that others cannot or will not do. These tasks often preoccupy and emotionally drain the college administrator, leaving him without the time or energy for other important institutional decisions that would demand creative, cooperative, and sustained attention.

The other type of college administrators—those without real power—are also confronted with frustrations. They may have no direct control over significant internal operations and consequently devote their attention to activities that may be important but are peripheral to the institution's primary mission.[4] Both the powerless and the too powerful administrator are unable to assume a vital leadership role at times when they might move the institution toward a specific goal. (See *Document 5-1* in Chapter 5 for an exercise in the dilemma of power.)

The role of the chief administrator of a college or university more closely resembles that of a mayor or city council chairman than that of the chief executive of a business corporation. Like the local politician the college administrator must serve many constituencies, which have varying goals, priorities, and allegiances. On the other hand, the college administrator, like the business executive, is expected to satisfy all of his constituencies while it is clearly impossible for the politician to do so. Furthermore, the college administrator has no "loyal opposition" to identify and clarify the problems of the institution, nor has he the support of a local party organization.[5] Perhaps most importantly, he does not have to worry about an election every two or four years. Hence, his performance is rarely subjected to an evaluation against agreed-upon standards by his supervisor or constituencies.

In summary, many college administrators do not rest easily in a clearly defined role, nor can they easily exert leadership in the role they do occupy. They are frequently caught in the uncomfortable position of being held accountable for programs and resources while the authority for policy formation and decision making is vested with others. Some college administrators, it should be noted, consider this ambiguity to be challenging and refreshing. They enjoy the lack of constrictions and the constant variety in their roles. But for other administrators these conditions produce dissatisfaction and frustration.

The Growth of Specialization in Collegiate Administration

How did the college administrator get into his present-day dilemma? The first colleges in America had no full-time administrator except the president. In fact, he was the whole administration! In addition, the eighteenth century college president had heavy teaching responsibilities and as a faculty member was considered to be first among peers.[6] His primary role was academic leadership: preserving academic excellence, recruiting competent teachers and scholars, and presiding over discussions of important academic matters. Although the colonial college was usually church-controlled or related, its small enrollments, freedom from governmental regulations, and limited curriculum enabled it to be organized and run by the faculty. In many ways it functioned as a consortium of individual scholars, educating the young for future church and civic responsibilities.

During the past century the role of the college president and other key administrators gradually changed. This transition greatly accelerated during the past twenty-five years, however, with the rapid expansion of the public higher education system and the growth in complexity of all colleges and universities. The college president has moved away from his former role as academic leader and in many institutions is now primarily involved in the overall administration of external matters as well as internal financial and physical operations. Even in small colleges it is the academic dean who assumes major leadership for internal matters, especially those related to teaching, and he usually has more status and autonomy than budget officers, directors of development, institutional research officers, and deans of students.

In large universities, as well as in many small- and medium-sized colleges, further specialization of function has occurred at lower levels. Vice-presidents (academic, planning and development, administrative, student services) have been hired to assist the president to carry on specific campus responsibilities. However, vice-presidents soon find they are spending most of their time in a coordinating capacity. They have become managers of large and complex offices and consequently must build their own administrative staffs. Thus the modern collegiate institution is operated by a large administrative staff. and its key administrators, like those in business and industry, have become detached from the daily operations of the institution and its primary activity, education.

> *" 'Over whatever a man may preside, he will, if he knows what he needs and is able to provide it, be a good president, whether he have the direction of a chorus, a family, a city or an army.' "*

In many universities and colleges, key administrators are primarily concerned with budget, institutional planning and development, governmental relations, and other related activities. In large institutions, the academic vice-president often finds little time for the educational process, having delegated these responsibilities to associate deans or division chairmen. His primary concern is necessarily faculty personnel matters: salaries, additions or deletions of faculty positions, and collective bargaining. To provide services in the area of teaching and learning, an office of faculty development or an instructional development service is often established, and these specialized practitioners perform functions that were once the province of the academic vice-president or dean. Institutional size, complexity of operations, and pressure for public accountability have therefore forced specialization of function in both the small college and the large university. This specialization has its advantages as well as its problems.

First, a large specialized staff can probe deeply and from a variety of perspectives into difficult problems. A second consideration is that increased specialization frees key administrators from routine decision-making procedures and enables them to focus on the central issues of the institution.

A third benefit is that specialization encourages the emergence of new roles; and these roles in turn encourage the introduction of new techniques and perspectives. On many campuses the office of institutional research has recently emerged as a vital and creditable agency. This office has, in many instances, provided a vehicle for the acceptance and implementation of new planning and management tools like those developed by the National Center for Higher Education Management Systems (NCHEMS) and the Planning and Data System (PDS) of the Council for the

Advancement of Small Colleges (CASC). In more traditional settings, most administrators would have had neither the time nor the expertise to master the complex NCHEMS instruments and procedures or to help develop the small college planning tools for CASC. Similarly a new "preventive approach" to forecasting and dealing with student problems has become possible primarily because most student service offices are now large enough to allow one or more staff members to specialize in this area.

Both administrators and the constituencies they serve (trustees, faculty, students, alumni, and the general public) frequently complain about the problems of specialization. Probably the most common criticism is that the contemporary administrator has become a businessman rather than an educator or scholar. It is said that he is more concerned with the operations of the institution than with its substance. As he struggles for the college's survival, he rarely seems able to reflect on why—or whether—it *should* survive. In this way he may, in fact, contribute to its slide toward mediocrity or eventual demise. It is not only those who wish for the small and simple college life of the past who make this complaint. Peter Drucker, noted authority on management and administration, says:

> One of the things we know is that when the chief executive is not able or willing to give his main attention to the central purposes of the organization, but is either forced or willing to spend most of his energies on something that is not the main goal, then the organization is not viable. It will decay because it will lose its creative energies. It will lose its leadership. It will lose its abilities to seize opportunities. An educational institution is not under quite the same market pressures as a business, but that only means that its death is slower and more painful, yet just as inevitable. . . .
>
> The most dangerous thing and the most common thing for top-management people to do is to plead iron necessity for doing on a fire-fighting, spot-welding, day-by-day basis what actually requires fundamental policy decisions and fundamental changes. All one can do that way is to delay a little. One does not gain anything.[7]

On the other hand, though key administrators may be described as businessmen they seldom have been trained for this role. Most high-level administrators were originally educators, scholars, or researchers. Consequently they are rarely prepared to administer a complex organization like a college or university. It is understandable, then, that members of the business community often describe the contemporary college or university as a multimillion dollar service industry that is poorly managed by a cadre of amateurs.

Another problem that often emerges from increased specialization is the loss of a common vision of what the college should be and, thus, a loss of perspective that prevents leaders from leading. The various specialized functions that could be easily integrated when they were performed by one or two people are now performed by many individuals who often work in isolation from each other. Fund raising, for example, frequently operates independently of student recruitment and academic program development, even though these areas are highly interdependent. Faculty are also segmented by disciplines and often pursue interests separately and apart from broader institutional concerns. It is clear that administrators who become enmeshed in the demands of their office and who must compete for scarce resources often have neither the time nor the interest to find out about the operations of other units within the institution. While this lack of perspective is a problem in any large and complex organization, it becomes particularly critical in collegiate institutions where goals are neither clear nor readily quantifiable. After his resignation from the presidency of the University of California at Berkeley, Clark Kerr summed up the situation by suggesting that the three major administrative problems on a campus are sex for students, athletics for alumni, and parking for faculty.

"The role of the chief administrator of a college or university more closely resembles that of a mayor or city council chairman than that of the chief executive of a business corporation."

Increased specialization of roles also tends to create tensions and misunderstanding between the academic and nonacademic members of the staff.[8] With the increase in size and influence of the nonacademic staff, faculty and lower-level academic administrators in large institutions look with suspicion on planners, business officers, and fund raisers. This suspicion is often mutual. Both academic and nonacademic administrators tend to question the amount and value of work performed by faculty and draw arbitrary boundaries between teaching and administration.[9]

A final problem of increased specialization is the loss of a sense of purpose among administrators who have little authority and restricted power but no commensurate reduction in accountability. Many came to administration in the first place because they were concerned about the direction of higher education or because of their experience in a particular college or university. Perhaps as young faculty, they had discovered through committee work or departmental administration that they had unsuspected administrative skills but in their present roles could do little to effect change. As a result, they turned away from scholarship, teaching, or research toward governance and administration. Others, especially women, found paths to faculty positions blocked by tenure requirements or quotas and turned to entry-level administrative positions in the hopes of gaining some influence there. As junior-level administrators they often worked on their own time on aspects of the institution's operations outside their area of responsibility.

Sometimes they took courses in administration and management and went on to earn advanced degrees.

Yet now that these administrators have achieved major institutional status and influence, they find themselves constrained by a specialization in role. The head of a student services office, for instance, finds he has little influence over decisions about academic affairs, other than to serve in an *ex officio* capacity on faculty committees. And the chief budget officer feels that he is brought into long-term planning processes of the institution only when someone wants to determine whether an idea is financially feasible. As a result many administrators feel alienated from those aspects of their institution that are of vital personal concern.

Such a dilemma is not uncommon. Daniel Levinson's description of the disillusioned middle-aged man who has lost his dream may be painfully familiar to anyone experienced in occupying an administrative role.[10] Certainly the "burnout" of many administrators is attributable, in part, to finding themselves in situations of accountability where they are unable to act or make decisions because authority is so diffused.

Douglas Knight, the former president of Duke University and Lawrence University, speaks of the frustrations and disillusionments of the college presidency:

> The men and women in these positions . . . are at the moment denied many of the normal satisfactions of a career. They must by definition work with the negative realities of their institution rather than its positive possibilities. And they must demand of themselves more than can be adequately performed, yet with no hope of meeting the needs of the job or the institution. It is an unhealthy situation. . . .[11]

These are just some of the problems that confront the contemporary college or university administrator.[12] However, it must be emphasized that each of these problems can be confronted and resolved if a diversity of managerial functions are performed effectively. Many of these functions are not unique to college administration, but the manner of their performance may be. The remainder of this chapter offers a set of principles for college administration and identifies its central functions.

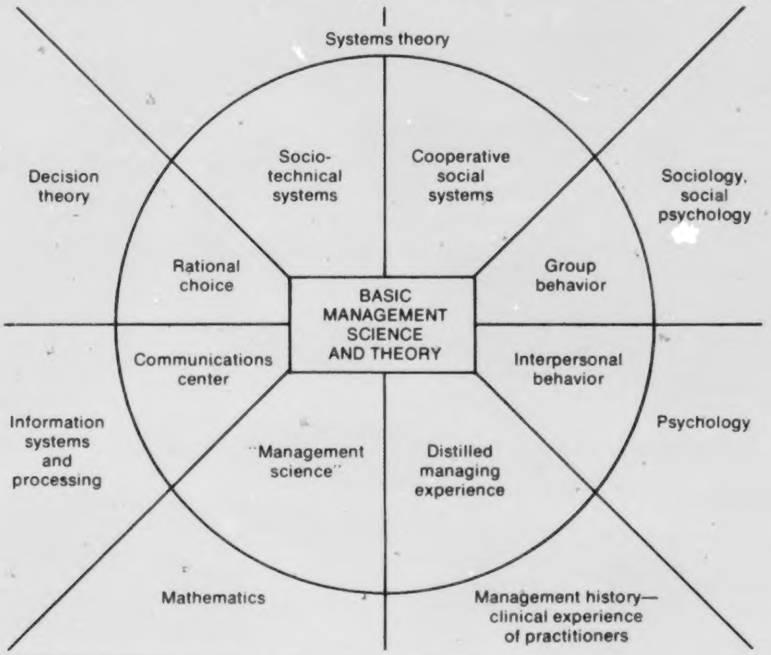
PRINCIPLES OF COLLEGIATE ADMINISTRATION

Administration as a Process of Management

So much has been written about management throughout the ages that the field has been called a "theory jungle."[13] The subject is further complicated by the fact that management heavily relies on many fields of knowledge in the same manner that space technology looks to physics, mathematics, astronomy, chemistry, biology, and psychology. The dependency of management on many disciplines is illustrated by Figure 1-1.

FIGURE 1-1

Management as a System Draws on Many Areas and Disciplines*


Systems theory
Decision theory
Socio-technical systems
Cooperative social systems
Sociology, social psychology
Rational choice
Group behavior
BASIC MANAGEMENT SCIENCE AND THEORY
Communications center
Interpersonal behavior
Information systems and processing
"Management science"
Distilled managing experience
Psychology
Mathematics
Management history—clinical experience of practitioners

---

*From *Essentials of Management* (2d ed.) by Harold Koontz and Cyril O'Donnell, page 23. Copyright ©1978 by McGraw-Hill, Inc. Used with permission of McGraw-Hill Book Company.

Many different functions have been attributed to the process of management, but the classic categorization of managerial functions was first proposed by Luther Gulick in 1937. It included planning, organizing, staffing, directing, coordinating, reporting, and budgeting.[14] More recently, Thad Hungate proposed four key functions.[15] The first is the process of delegation and organization, which determines how the responsibilities of management are to be borne. While it is ultimately the governing board of the college that delegates and organizes, many of the critical managerial decisions and actions are in the hands of the administration or faculty. Hungate's second function, direction, is performed through the formulation of policy. Integral to this function are the specification of program objectives, the delegation of responsibility for planning and supervision, the organization of human and physical resources, and the selection of methods and procedures for the achievement of program objectives. The third function that Hungate identifies is operations. "The exercise of this responsibility," he says, "requires knowledge of the work to be done, the choice of techniques, the supply of necessary materials, and the assignment of qualified personnel with a desire to perform it."[16] The fourth, evaluation, is essential to the continual reassessment and improvement of the other three functions.

"Yet management is—or should be—a very human endeavor operating in a dynamic environment. Management involves people working together to accomplish mutually beneficial goals and group objectives."

James Morgan identifies almost identical managerial functions (planning, organizing, coordinating directing, and controlling), but notes that the importance of each varies at different levels of management.[17] At higher levels, planning and organizing are more important, and directing and controlling are less important. Coordinating appears to remain about the same whatever the level. In higher education, where the bureaucracy is much smaller than in most business firms, it is possible that these shifts do not occur. The college administrator, as manager, often has to perform all five functions. He is a high-level executive officer in planning, organizing, and making decisions, yet he wears the hat of mid-level supervisor when directing and controlling specific projects. As Peter Drucker expressed it somewhat whimsically:

> Every small college president I know is essentially a part-time painter, plumber, electrician, groundskeeper, purchasing agent, and what have you, largely because his institution is not of sufficient size to be able to pay a decent salary to a good man to take responsibility for these functions. As a result the president's time and attention are diverted from functions more appropriate to his office. The costs to the college are much greater than the cost of the salary which is ostensibly saved.[18]

Campbell, Dunnette, and their associates have shown in their extensive studies that the specific functions performed by any manager are determined only in part by the demands of the job or task.[19] Managerial behavior is also determined by the individual characteristics of the manager (intelligence, aptitudes, skills, interests, expectations, reward preferences), the reward structure of the organization, and training and development experiences that are available to the manager.

One of the most sophisticated models of managerial functioning has been offered by R. Alec Mackenzie.[20] His model is based on the assumption that managers must deal with three basic elements: ideas, things, and people. Furthermore, three central functions—problem analysis, decision making, and communication—permeate all aspects of management. Other functions tend to occur in predictable sequence: planning, organizing, staffing, directing, and controlling. The salience of any one of these latter functions depends on the position of the manager in the organization (as Morgan noted), the stage of project completion, and, if we accept the findings of Campbell and Dunnette, the characteristics of the manager and the organization. The five sequential functions are recycled when a new project begins. The three central functions (problem analysis, decision making, and communication), on the other hand, are continuous in nature. (See Figure 1-2 for a simplified version of Mackenzie's model.)

The Functions of Administration

When analyzing administration in higher education, we felt the approach that would be most helpful in this *Handbook* was the operational approach organized around generally recognized managerial functions. While some disagreement exists on the number of managerial functions, we have chosen to modify the common classification in order to make it more appropriate to higher education administration. Ours closely parallels Morgan, Mackenzie, Koontz and O'Donnell,[21] and Haimann and Scott.[22]

The *Handbook* is organized around six functions of administration: planning, organizing, staffing, leading, evaluating, and developing. Figure 1-3 illustrates these functions, interrelationships between them, and the order in which they are presented in the *Handbook*. They should be viewed as parts of a single system: a change in one function causes changes in others; neglect in one area weakens the entire system. While equal time or energy cannot be given to all six functions, the effectiveness of the management process depends on the strength of every link in the chain.

Planning

In theory, and for new organizations, planning should precede all other administrative functions. In existing organizations planning ideally precedes the implementation of new programs, policies, and procedures.

Planning should be a cyclical process that includes such activities as establishing, reviewing, and

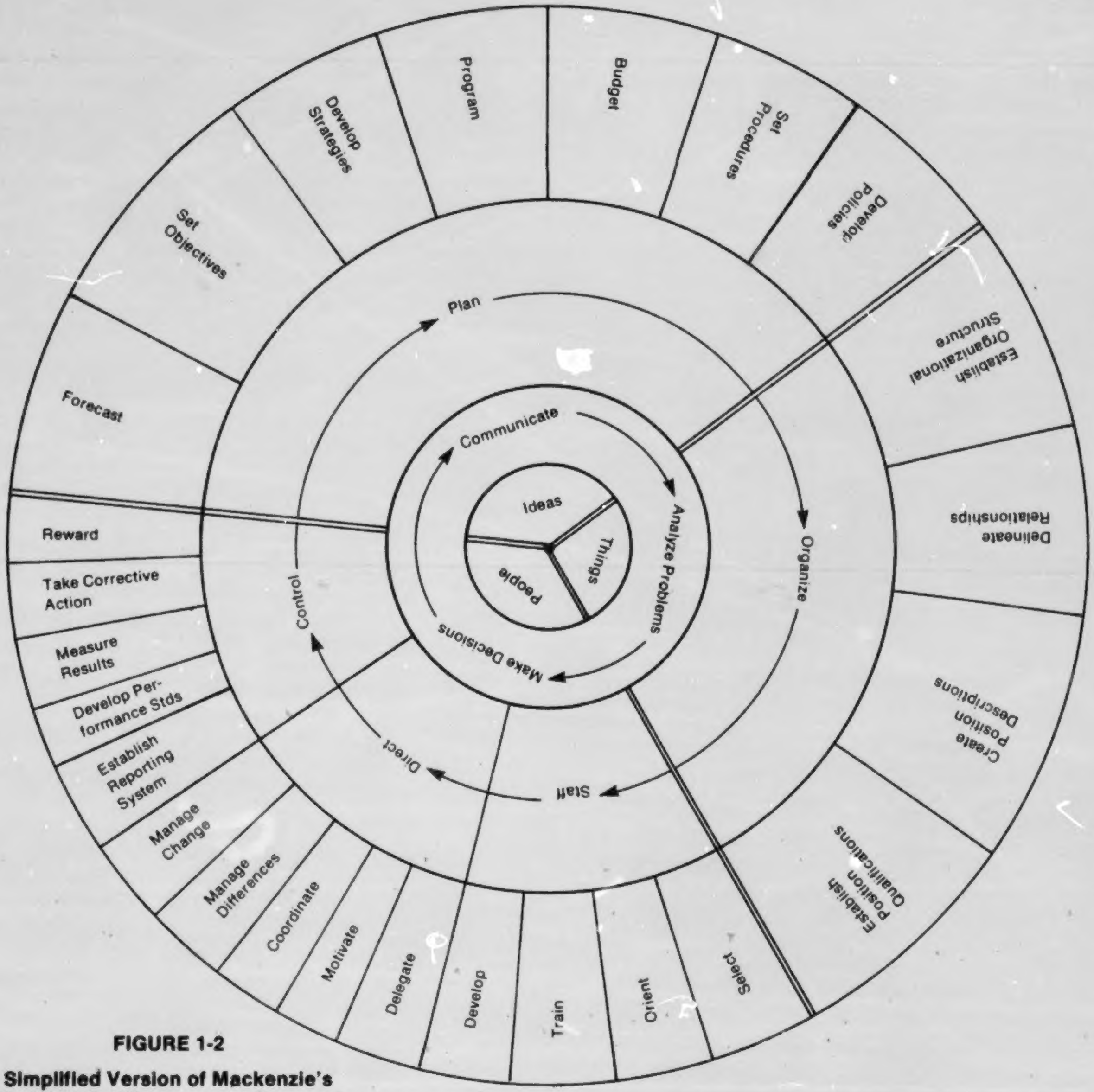

Ideas
Things
People
Communicate
Analyze Problems
Make Decisions
Plan
Organize
Staff
Direct
Control
Forecast
Set Objectives
Develop Strategies
Program
Budget
Set Procedures
Develop Policies
Establish Organizational Structure
Delineate Relationships
Create Position Descriptions
Establish Position Qualifications
Select
Orient
Train
Develop
Delegate
Motivate
Coordinate
Manage Differences
Manage Change
Establish Reporting System
Develop Performance Stds
Measure Results
Take Corrective Action
Reward

FIGURE 1-2

Simplified Version of Mackenzie's Model of the Management Process*

modifying mission, goals, and objectives; assessing internal and external environmental conditions that may affect market position, budget, and resources to be allocated or acquired; identifying, testing, and implementing strategies for program enactment and maintenance; and monitoring implemented plans and making adjustments as required. Planning without a decision to commit human and fiscal resources is not a plan; it is only a review, a study, or an intellectual exercise. Planning is not complete until specific decisions have been made to allocate resources and implement all or a portion of the plan.

Organizing

Whether employed in a new or established institution, the organizing process involves the division of labor, the assignment of tasks to be achieved, and definitions of interrelationships to indicate how each subgroup and division fits into the total effort. The organizing function includes delegation of authority and responsibility. It is the process of deciding who is to do what, where it is to be done and how, and when it is to be completed. Organizing is creating an internal structure—a means to carry out plans and meet objectives.

---

* Adapted from R. Alec Mackenzie, "The Management Process in 3-D," *Harvard Business Review* 47 (November-December 1969): 81-86.

Staffing

People with appropriate skills, interests, and concern for institutional mission must be identified, selected, trained, and encouraged in accordance with plans. Administrators are responsible for providing adequate faculty and staff to achieve objectives without wasting limited resources on excessive employment. They are responsible for forecasting employment needs and maintaining policies and practices that ensure institutional flexibility. This flexibility is essential in dealing with changing needs and resources while at the same time ensuring equitable and nondiscriminatory hiring and firing of personnel.

Leading

Leadership is an essential function. It relies heavily on communication and motivation. Only through effective use of leadership, communication, and motivation will an administrator obtain active and knowledgeable participation and cooperation in the achievement of institutional goals. Leadership requires that others are willing to follow, and people follow those who they think will enable them to achieve their own personal goals. An administrator's responsibility is to create through communication, motivation, and leadership an environment that others find satisfying and challenging. Leadership, communication, and motivation also are essential in helping others either to accept change or to work toward stabilization in the organization.

Evaluating

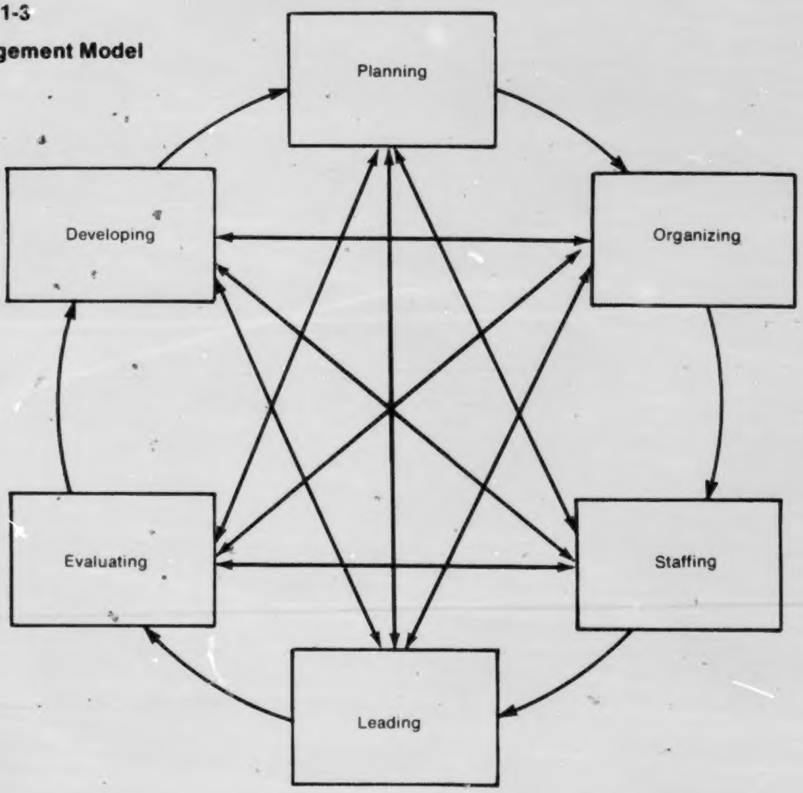
Monitoring progress is essential for determining whether organizational units and employees are meeting desired objectives. Monitoring, evaluating, and controlling are activities by which plans are tested. Without these activities and without these tests, needed adjustments would not be made, nor would scarce resources be utilized effectively to assure achievement of the plans. Only through monitoring and evaluating can a college learn from its own mistakes and help personnel learn from theirs.

Developing

Incumbent upon all administrators is the responsibility to assist and provide for the professional growth and development of employees. Helping them to assume new responsibilities, providing access to developmental programs, and retraining those whose positions have become marginal are all essential functions of administration. The people-developing function has traditionally been given minimal attention in colleges and universities, but it has become increasingly important under conditions of steady-state economics and staffing and the declining numbers of traditional students.

FIGURE 1-3

Six-Function Management Model



THE CHALLENGES OF COLLEGE ADMINISTRATION

We have said that college administrators face a complex set of managerial tasks: directing the activities of an increasingly large administrative staff, negotiating and mediating the conflicting needs and demands of various college constituencies; blending the goals and styles of both the academic and nonacademic professionals at the college; and retaining a creative, optimistic perspective in the face of severe fiscal constraints and long-term prospects of decreased enrollments from traditional college-age students. These complex tasks require a set of management processes that enable the college administrator to work effectively with other members of the college community.

His responsibilities and the continually changing conditions of the college make it necessary for the college administrator himself to engage in an ongoing process of professional development. He inevitably experiences personal stress while confronting the challenges to his managerial abilities, and he must find ways of coping with it. Finally, he must help design and preserve an interpersonal, organizational, and institutional climate that minimizes stress for himself and his staff while ensuring that effective work is performed to achieve significant educational goals.

Some principles that may help the college administrator handle the potentials and problems of the managerial functions have been formulated by Earl V. Pullias, professor of higher education at the University of Southern California and a former college administrator himself.[23] (See *Document 1-1* for a summary.) While you may not agree with all of these principles, they can serve as a useful starting point for a discussion of college administration and more specifically for a discussion of personal assumptions about how college administrators can be most effective. Most of Pullias' principles deal with the relationships between an administrator and one or more other people. He emphasizes the college administrator's decision-making role. The administrator must be able to bring together diverse elements to solve problems of joint concern. He must be open to the options of each constituency but must also retain authority and responsibility for making decisions or delegate authority and responsibility to those who have information needed to make sound decisions. He must have access to a close group of advisors, yet must share with campus groups both their decisions and the processes whereby the decisions are made.

Both information and control should flow to and from the college administrator. If he holds all information or assumes total control, he will not be able to work effectively with other people. If he lacks interpersonal skills, then his abilities as a planner, fiscal manager, scholar, or statesman may not serve important institutional objectives.

A second set of principles for administrators has been developed by Harold S. Hook, the founder of Main Event Management Corporation, a firm that specializes in management-development for entire organizations.[24] Hook has identified 151 principles or "models" of management that he believes address the critical problems facing any person who works through other people to accomplish predetermined objectives. (See Chapters 3 and 4 for a discussion of several of Hook's models, and *Document 7-5* for the method by which his models are taught to administrators.)

Principles can provide guidance but they cannot solve problems. The specific suggestions in this *Handbook* will be of practical value to the student of higher education administration and the college or university administrator who would like to fulfill the rich potentials of his position and solve the complex problems that he now faces.

NOTES

1 Plato and Xenophon, *Socratic Discourses*, trans. J. S. Watson (New York: Dutton, 1910), Book 3, Chapter 4, pp. 80-81.

2 Michael D. Cohen and James G. March, *Leadership and Ambiguity: The American College President* (New York: McGraw-Hill, 1974).

3 George Orwell, *Shooting an Elephant, and Other Essays* (New York: Harcourt, Brace, 1950).

4 Francis E. Rourke and Glenn E. Brooks, *The Managerial Revolution in Higher Education* (Baltimore: Johns Hopkins Press, 1966).

5 Douglas M. Knight, "Death of a Salesman: The College Presidency," *Soundings* 54 (Spring 1971): 23-28.

6 John S. Brubacher and Willis Rudy, *Higher Education in Transition: An American History, 1636-1956* (New York: Harper & Brothers, 1962), pp. 28-29.

7 Peter F. Drucker, "What Principles of Management Can the President of a Small College Use to Improve the Efficiency of His Institution?" in *Selected Issues in College Administration*, ed. Earl J. McGrath (New York: Teachers College Press, 1967), pp. 78-79.

8 Gordon G. Darkenwald, Jr., "Organizational Conflict in Colleges and Universities," *Administrative Science Quarterly* 16 (December 1971): 407-412.

9 In their survey of fifty-five college presidents, Keith W. Prichard, Thomas H. Buxton, and Ellen Sintek found that college presidents who were themselves previously faculty members indicated fewer problems with faculty than did presidents who had no previous faculty experience. As the number of administrators who come from nonacademic backgrounds increases, we might anticipate increased alienation between faculty and administrators. "The Problems of College and University Presidents," *School and Society* 100 (February 1972): 101-106.

10 Daniel Levinson and others, "The Psychosocial Development of Men in Early Adulthood and the Mid-Life Transition," in *Life History Research in Psychopathology*, ed. David F. Ricks, Alexander Thomas, and Merrill Roff (Minneapolis: University of Minnesota Press, 1974), vol. 3, pp. 243-258.

11 Knight, p. 26.

12 Prichard, Buxton, and Sintek surveyed fifty-five college presidents to determine what they perceived as their major problems. Finance was found to be the primary problem, followed by work tasks and routines, faculty and faculty recruitment, governing bodies or superordinates, and students and student control, in that order. In a comparable study, Charles W. Lindahl ("Attrition of College Administrators," *Intellect* 101 (February 1973): 289-293) found that twenty-one upper-level administrators at California State Colleges who had recently left their administrative positions to return to teaching identified campus unrest as their greatest problem. Political interference, governance and decision-making, and system-wide problems were also identified as major problems.

The difference between the results of Prichard et al. and those of Lindahl might be attributed to the different populations being surveyed or the unique characteristics of the California State System. The Lindahl results seem to reflect the dominant concerns of the late 1960s, whereas the Prichard results seem to be attuned to the problems of the early 1970s—even though both studies were conducted in the early 1970s.

13 Harold Koontz, "The Management Theory Jungle," in *Readings in Management*, 3rd ed., ed. Max D. Richards and William A. Nielander (Cincinnati: Southwestern Pub. Co., 1969), p. 3.

14 Luther Gulick, "Notes on the Theory of Organization," in *Papers on the Science of Administration*, ed. Luther Gulick and L. Urwick (New York: Institute of Public Administration, 1937), p. 13.

15 Thad L. Hungate, *Management in Higher Education* (New York: Teachers College Press, 1964), pp. 67-71.

16 Hungate, p. 70.

17 James E. Morgan, *Principles of Administrative and Supervisory Management* (Englewood Cliffs, N.J.: Prentice-Hall, 1973), pp. 8-9.

18 Drucker, p. 76.

19 John P. Campbell, Marvin D. Dunnette, Edward E. Lawler, III, and Karl E. Weick, Jr., *Managerial Behavior, Performance, and Effectiveness* (New York: McGraw-Hill, 1970).

20 R. Alec Mackenzie, "The Management Process in 3-D," *Harvard Business Review* 47 (November-December 1969): 80-87.

21 Harold Koontz and Cyril O'Donnell, *Essentials of Management*, 2d ed. (New York: McGraw-Hill, 1978), p. 23.

22 Theo Haimann and William G. Scott, *Management in the Modern Organization* (Boston: Houghton Mifflin Co., 1974).

23 Earl V. Pullias, "Ten Principles of College Administration," *School and Society* 100 (February 1972): 95-97; "College and University Administration: Ten More Principles," *Intellect* 101 (April 1973): 428-441; "College and University Administration: Ten Additional Principles," *Intellect* 102 (November 1973): 92-95.

24 Harold S. Hook, Main Event Management Corporation, P.O. Box 215017, Sacramento, California 95817.

Documents
Chapter 1

Document 1-1

Title: Principles of College Administration

Source: William H. Bergquist, based on the work of Earl V. Pullias (Professor of Higher Education, University of Southern California, Los Angeles, Calif.)

General Description:

This exercise enables college administrators to examine their assumptions about how administration can be effective. It also encourages them to examine growth. In small group discussions, they can explore the relationship between their own assumptions and goals and those of their administrative colleagues. Principles of College Administration can serve as a consciousness-raising tool that precedes or initiates a new personnel management procedure (see Chapter 4) or administrative development program (see Chapter 7).

Principles of College Administration is usually used in a small group setting, although the accompanying questionnaire can be profitably filled out by a single administrator—if his responses to it are discussed with a colleague or friend. The small group might consist of a team of administrators who work closely together. Alternatively, the group might be composed of administrators from one college or several colleges who do not usually work together. Administrators who work closely together can discuss these principles from the perspective of actual, observed performance. On the other hand, a group of administrators who do not work together might be able to discuss their current and desired performance more openly and easily than administrators who must continue to work together after the exercise is completed.

Instructions for Use:

The administrator(s) should first be instructed to fill out "Principles of College Administration," a questionnaire that asks the administrator to indicate the extent to which: (a) he agrees with each principle, (b) his current administrative performance seems to reflect this principle, and (c) he would like his administrative performance to reflect this principle in the future. The thirty principles contained in this questionnaire have been excerpted from three articles written by Earl V. Pullias: "Ten Principles of College Administration," *School and Society* 100 (February 1972): 95-97, "College and University Administration: Ten More Principles," *Intellect* 101 (April 1973): 428-441; and "College and University Administration: Ten Additional Principles," *Intellect* 102 (November 1973): 92-95.

Since each principle is described by only one or two sentences in this questionnaire, the person administering the instrument should have read Pullias' three articles in advance so that he can expand on the meaning of a specific statement if anyone is confused about a statement or uncertain about his response to the principle. Alternatively, in a small group setting administrators might wish to reach a common agreement as to the meaning they wish to attach to a specific statement or principle. Pullias' principles are meant to be used as starting points for discussions about college administration.

While filling out the questionnaire (usually a 30- to 40-minute process), it is important that respondents comment on each principle in the space that is provided. These comments can be valuable in helping the administrators focus their attention during subsequent discussions on the thirty principles. Once the administrators have completed the questionnaire they should meet in small groups of three to five members to discuss their reactions to the principles.

During the discussion session, one or more of the following questions might be raised if the conversation seems to be sluggish or to lack direction:

1. Which of the principles, if any, do you most strongly endorse? Which ones might be considered "words to live by" from your point of view? Why?
2. If you are not enthusiastic about some of these principles, what additional principles would you propose that you do believe are significant?
3. In what ways are the principles you strongly endorse reflected in your work as an administrator? In what ways, if any, do you seem to contradict these key principles in your daily work?
4. With which of the principles, if any, do you most strongly disagree? Why? How might you change these principles so that you do agree with them?
5. What actions might you take in the near future to bring your performance as an administrator more closely in line with those principles that you strongly endorse? Can any of the other members of this group help you in this effort?

At least one hour should be allowed for the discussion of these thirty principles. If possible, the entire group should reconvene at the end of the discussion session to identify common themes and insights that have emerged from the questionnaire and discussion.

The exercise leader might wish to record the participants' responses to each principle during the discussion period, then determine the average scores for each principle in each of the three response categories (Agreement with Principle, Principle Reflected in Current Performance, Principle To Be Reflected in Future Performance). These scores can in turn be shared with the administrators during the closing session and can be discussed either in the large group or in small groups of three to five members.

If time permits, each participant might wish to determine the discrepancy between his responses to each principle and the average responses made by the other participating administrators. These discrepancies can be determined by subtracting individual scores for each principle from the appropriate mean score. The resultant discrepancy scores (ignoring the positive or negative value of the scores) are then totaled for all thirty principles, yielding three total scores—one for each of the three response categories. The participants can then discuss their discrepancy scores with each other. Administrators with high discrepancy scores might wish to reflect on the differences between their own attitudes, performance, or professional growth goals and those of their fellow administrators.

If the group is composed of administrators who work together, these discrepancy scores can be particularly instructive. The administrators can discuss their differences and the effect that these differences have on their working relationships. If one or two members of the team record particularly high discrepancy scores, the team can discuss how to make constructive use of these differing perceptions of college administration. If many members of the team record relatively high discrepancy scores in one or more of the three response categories, then the team might focus on what it can do to increase consensus around these principles. (See Chapter 7 for a discussion of organizational development procedures to bring about consensus.)

Principles of College Administration

Name: ____ Date:______________

Instructions

Please examine each of the following statements or principles, which are concerned with the administration of a college or university.* Determine the extent to which you agree with each statement in terms of its applicability to you in your institution. In addition, determine the extent to which your current performance as an administrator reflects this statement. To what extent would you (or your colleagues) state that you "live by" the principle being conveyed? Finally, determine the extent to which you would like this principle to be reflected in your administrative performance in the future. Please use the categories listed after each statement to indicate your assessment of each principle. Space has been provided after each statement so that you can record your comments about these assessments. Your written comments may prove to be of value to you when you are discussing your responses to this questionnaire. Thoughtful attention to these thirty principles can yield valuable insights about your own assumptions, perceptions, and goals concerning college administration.

Principle One: In any decision-making process, those who will be affected by the decision should be informed and, if possible, consulted.

Level of Agreement
_____Strongly Agree
_____Agree
_____Disagree
_____Strongly Disagree

Would Like It To Be Reflected
_____More in the Future
_____About the Same in the Future
_____Less in the Future

Reflected in Current Performance
_____Strongly Reflected
_____Moderately Reflected
_____Slightly Reflected
_____Contradicted by My Performance

Comments:

Principle Two: The trustees, the faculty, the student body, and the staff—the campus community—should be the first to hear about important decisions and developments.

Level of Agreement
_____Strongly Agree
_____Agree
_____Disagree
_____Strongly Disagree

Would Like It To Be Reflected
_____More in the Future
_____About the Same in the Future
_____Less in the Future

Reflected in Current Performance
_____Strongly Reflected
_____Moderately Reflected
_____Slightly Reflected
_____Contradicted by My Performance

Comments:

---

* Taken from Earl V. Pullias, "Ten Principles of College Administration," *School and Society* 100 (February 1972): 95-97; "College and University Administration: Ten More Principles," *Intellect* 101 (April 1973): 428-441; "College and University Administration: Ten Additional Principles," *Intellect* 102 (November 1973): 92-95.

Principle Three: The people who are consulted when a decision is being sought (faculty, students, alumni, etc.) should be helped to understand the way in which their advice or counsel will be used.

Level of Agreement
_____Strongly Agree
_____Agree
_____Disagree
_____Strongly Disagree

Would Like It To Be Reflected
_____More in the Future
_____About the Same in the Future
_____Less in the Future

Reflected in Current Performance
_____Strongly Reflected
_____Moderately Reflected
_____Slightly Reflected
_____Contradicted by My Performance

Comments:

Principle Four: When responsibility is delegated—as it should and must be in any organization—corresponding authority should be delegated within reasonable limits.

Level of Agreement
_____Strongly Agree
_____Agree
_____Disagree
_____Strongly Disagree

Would Like It To Be Reflected
_____More in the Future
_____About the Same in the Future
_____Less in the Future

Reflected in Current Performance
_____Strongly Reflected
_____Moderately Reflected
_____Slightly Reflected
_____Contradicted by My Performance

Comments:

Principle Five: As a general rule, the responsible person nearest to the involved situation should make the decision.

Level of Agreement
_____Strongly Agree
_____Agree
_____Disagree
_____Strongly Disagree

Would Like It To Be Reflected
_____More in the Future
_____About the Same in the Future
_____Less in the Future

Reflected in Current Performance
_____Strongly Reflected
_____Moderately Reflected
_____Slightly Reflected
_____Contradicted by My Performance

Comments:

Principle Six: Consistent effort should be made to enable all in the college or university to understand the principle that there must be a relationship between responsibility and competence.

Level of Agreement
_____Strongly Agree
_____Agree
_____Disagree
_____Strongly Disagree

Would Like It To Be Reflected
_____More in the Future
_____About the Same in the Future
_____Less in the Future

Reflected in Current Performance
_____Strongly Reflected
_____Moderately Reflected
_____Slightly Reflected
_____Contradicted by My Performance

Comments:

Principle Seven: The practice of basic courtesy is essential in dealing with members of the academic community.

Level of Agreement
_____Strongly Agree
_____Agree
_____Disagree
_____Strongly Disagree

Would Like It To Be Reflected
_____More in the Future
_____About the Same in the Future
_____Less in the Future

Reflected in Current Performance
_____Strongly Reflected
_____Moderately Reflected
_____Slightly Reflected
_____Contradicted by My Performance

Comments:

Principle Eight: Favoritism, or what appears to be favoritism, is especially harmful to morale.

Level of Agreement
_____Strongly Agree
_____Agree
_____Disagree
_____Strongly Disagree

Would Like It To Be Reflected
_____More in the Future
_____About the Same in the Future
_____Less in the Future

Reflected in Current Performance
_____Strongly Reflected
_____Moderately Reflected
_____Slightly Reflected
_____Contradicted by My Performance

Comments:

Principle Nine: Grievance procedures in the academic community should be available and clearly understood.

Level of Agreement
_____Strongly Agree
_____Agree
_____Disagree
_____Strongly Disagree

Would Like It To Be Reflected
_____More in the Future
_____About the Same in the Future
_____Less in the Future

Reflected in Current Performance
_____Strongly Reflected
_____Moderately Reflected
_____Slightly Reflected
_____Contradicted by My Performance

Comments:

Principle Ten: The purposes and the major processes of the institution should be kept before all segments of the academic community—board, students, faculty, alumni, patrons, staff, and the various publics of the college or university.

Level of Agreement
_____Strongly Agree
_____Agree
_____Disagree
_____Strongly Disagree

Would Like It To Be Reflected
_____More in the Future
_____About the Same in the Future
_____Less in the Future

Reflected in Current Performance
_____Strongly Reflected
_____Moderately Reflected
_____Slightly Reflected
_____Contradicted by My Performance

Comments:

Principle Eleven: The employer-employee relationship is not appropriate for an academic community and should be avoided.

Level of Agreement
_____Strongly Agree
_____Agree
_____Disagree
_____Strongly Disagree

Would Like It To Be Reflected
_____More in the Future
_____About the Same in the Future
_____Less in the Future

Reflected in Current Performance
_____Strongly Reflected
_____Moderately Reflected
_____Slightly Reflected
_____Contradicted by My Performance

Comments:

Principle Twelve: Diversity and variety among staff, faculty, board, and students should be accepted and respected.

Level of Agreement
_____Strongly Agree
_____Agree
_____Disagree
_____Strongly Disagree

Would Like To To Be Reflected
_____More in the Future
_____About the Same in the Future
_____Less in the Future

Reflected In Current Performance
_____Strongly Reflected
_____Moderately Reflected
_____Slightly Reflected
_____Contradicted by My Performance

Comments:

Principle Thirteen: Every aspect of the institution, as much as possible, should bear its own weight, financially and psychologically

Level of Agreement
_____Strongly Agree
_____Agree
_____Disagree
_____Strongly Disagree

Would Like It To Be Reflected
_____More in the Future
_____About the Same in the Future
_____Less in the Future

Reflected In Current Performance
_____Strongly Reflected
_____Moderately Reflected
_____Slightly Reflected
_____Contradicted by My Performance

Comments:

Principle Fourteen: The practice of responding chiefly to complaints—of being caught in the trap of "greasing the squeaky wheel"—should be avoided as much as is practicable.

Level of Agreement
_____Strongly Agree
_____Agree
_____Disagree
_____Strongly Disagree

Would Like It To Be Reflected
_____More in the Future
_____About the Same in the Future
_____Less in the Future

Reflected In Current Performance
_____Strongly Reflected
_____Moderately Reflected
_____Slightly Reflected
_____Contradicted by My Performance

Comments:

Principle Fifteen: A balance between change and stability, between innovation and tradition, should be sought constantly.

Level of Agreement

_____Strongly Agree

_____Agree

_____Disagree

_____Strongly Disagree

Would Like It To Be Reflected

_____More in the Future

_____About the Same in the Future

_____Less in the Future

Reflected In Current Performance

_____Strongly Reflected

_____Moderately Reflected

_____Slightly Reflected

_____Contradicted by My Performance

Comments:

Principle Sixteen: The office of the administrator—president, dean, department chairman, etc.—should be valued, protected, and enriched without overemphasis on the person who occupies the office.

Level of Agreement

_____Strongly Agree

_____Agree

_____Disagree

_____Strongly Disagree

Would Like It To Be Reflected

_____More in the Future

_____About the Same in the Future

_____Less in the Future

Reflected In Current Performance

_____Strongly Reflected

_____Moderately Reflected

_____Slightly Reflected

_____Contradicted by My Performance

Comments:

Principle Seventeen: A process for, and habit of, dealing swiftly and firmly with behavior that is clearly outside established standards of the academic community is essential for an administrator.

Level of Agreement

_____Strongly Agree

_____Agree

_____Disagree

_____Strongly Disagree

Would Like It To Be Reflected

_____More in the Future

_____About the Same in the Future

_____Less in the Future

Reflected In Current Performance

_____Strongly Reflected

_____Moderately Reflected

_____Slightly Reflected

_____Contradicted by My Performance

Comments:

Principle Eighteen: Youths of college and university age are to be respected but not feared, and their originality or significance should be neither overvalued nor undervalued.

Level of Agreement
_____Strongly Agree
_____Agree
_____Disagree
_____Strongly Disagree

Would Like It To Be Reflected
_____More in the Future
_____About the Same in the Future
_____Less in the Future

Reflected in Current Performance
_____Strongly Reflected
_____Moderately Reflected
_____Slightly Reflected
_____Contradicted by My Performance

Comments:

Principle Nineteen: An inner corps of broadly representative but loyal advisors who, within council, are free and able to voice their sincere opinions is very valuable to an administrator.

Level of Agreement
_____Strongly Agree
_____Agree
_____Disagree
_____Strongly Disagree

Would Like It To Be Reflected
_____More in the Future
_____About the Same in the Future
_____Less in the Future

Reflected in Current Performance
_____Strongly Reflected
_____Moderately Reflected
_____Slightly Reflected
_____Contradicted by My Performance

Comments:

Principle Twenty: When a decision is in process, the administrator should take care not to dominate the discussion by talking too much.

Level of Agreement
_____Strongly Agree
_____Agree
_____Disagree
_____Strongly Disagree

Would Like It To Be Reflected
_____More in the Future
_____About the Same in the Future
_____Less in the Future

Reflected in Current Performance
_____Strongly Reflected
_____Moderately Reflected
_____Slightly Reflected
_____Contradicted by My Performance

Comments:

Principle Twenty-One: All possible freedom should be allowed to those working within the community of scholars, but the administrator should accept the responsibility for helping the community to set mutually agreed-upon limits.

Level of Agreement
_____Strongly Agree
_____Agree
_____Disagree
_____Strongly Disagree

Would Like It To Be Reflected
_____More in the Future
_____About the Same in the Future
_____Less in the Future

Reflected in Current Performance
_____Strongly Reflected
_____Moderately Reflected
_____Slightly Reflected
_____Contradicted by My Performance

Comments:

Principle Twenty-Two: The institution should have clear and achievable goals toward which it is moving perceptibly.

Level of Agreement
_____Strongly Agree
_____Agree
_____Disagree
_____Strongly Disagree

Would Like It To Be Reflected
_____More in the Future
_____About the Same in the Future
_____Less in the Future

Reflected in Current Performance
_____Strongly Reflected
_____Moderately Reflected
_____Slightly Reflected
_____Contradicted by My Performance

Comments:

Principle Twenty-Three: The administrator should avoid both the appearance and reality of being indecisive.

Level of Agreement
_____Strongly Agree
_____Agree
_____Disagree
_____Strongly Disagree

Would Like It To Be Reflected
_____More in the Future
_____About the Same in the Future
_____Less in the Future

Reflected in Current Performance
_____Strongly Reflected
_____Moderately Reflected
_____Slightly Reflected
_____Contradicted by My Performance

Comments:

Principle Twenty-Four: The administrator must develop a style of administration that fits his temperament, a pace and rhythm of work that allows the maximum achievement with a minimum of wasted energy.

Level of Agreement
_____Strongly Agree
_____Agree
_____Disagree
_____Strongly Disagree

Would Like It To Be Reflected
_____More in the Future
_____About the Same in the Future
_____Less in the Future

Reflected in Current Performance
_____Strongly Reflected
_____Moderately Reflected
_____Slightly Reflected
_____Contradicted by My Performance

Comments:

Principle Twenty-Five: the power of the administrator's office should be used with care. An action passed over the strong opposition of sincere and deeply interested persons is often an expensive victory.

Level of Agreement
_____Strongly Agree
_____Agree
_____Disagree
_____Strongly Disagree

Would Like It To Be Reflected
_____More in the Future
_____About the Same in the Future
_____Less in the Future

Reflected in Current Performance
_____Strongly Reflected
_____Moderately Reflected
_____Slightly Reflected
_____Contradicted by My Performance

Comments:

Principle Twenty-Six: The administrator should strive to anticipate, as much as possible, the need for change and development.

Level of Agreement
_____Strongly Agree
_____Agree
_____Disagree
_____Strongly Disagree

Would Like It To Be Reflected
_____More in the Future
_____About the Same in the Future
_____Less in the Future

Reflected in Current Performance
_____Strongly Reflected
_____Moderately Reflected
_____Slightly Reflected
_____Contradicted by My Performance

Comments:

Principle Twenty-Seven: As a rule, the business of an institution can be carried on most effectively in small groups.

Level of Agreement
_____Strongly Agree
_____Agree
_____Disagree
_____Strongly Disagree

Would Like It To Be Reflected
_____More in the Future
_____About the Same in the Future
_____Less in the Future

Reflected in Current Performance
_____Strongly Reflected
_____Moderately Reflected
_____Slightly Reflected
_____Contradicted by My Performance

Comments:

Principle Twenty-Eight: The administrator should not be influenced unduly by campus gossip and propaganda.

Level of Agreement
_____Strongly Agree
_____Agree
_____Disagree
_____Strongly Disagree

Would Like It To Be Reflected
_____More in the Future
_____About the Same in the Future
_____Less in the Future

Reflected in Current Performance
_____Strongly Reflected
_____Moderately Reflected
_____Slightly Reflected
_____Contradicted by My Performance

Comments:

Principle Twenty-Nine: Special effort should be made to help every person who is a part of the institution to be sensitively aware of the crucial importance of money, since nothing is more certain to destroy a college or university than inefficient or careless financial management.

Level of Agreement
_____Strongly Agree
_____Agree
_____Disagree
_____Strongly Disagree

Would Like It To Be Reflected
_____More in the Future
_____About the Same in the Future
_____Less in the Future

Reflected in Current Performance
_____Strongly Reflected
_____Moderately Reflected
_____Slightly Reflected
_____Contradicted by My Performance

Comments:

Principle Thirty: When an administrator assumes a new position, he would be wise to take ample time to study the situation carefully before undertaking major changes.

Level of Agreement

_____Strongly Agree

_____Agree

_____Disagree

_____Strongly Disagree

Would Like It To Be Reflected

_____More in the Future

_____About the Same in the Future

_____Less in the Future

Reflected in Current Performance

_____Strongly Reflected

_____Moderately Reflected

_____Slightly Reflected

_____Contradicted by My Performance

Comments:

Chapter 2

Planning

"Would you tell me, please, which way I ought to walk from here?"
"That depends a good deal on where you want to get to," said the Cat.
"I don't much care where–" said Alice.
"Then it doesn't matter which way you walk," said the Cat.
"–so long as I get somewhere,*" Alice added as an explanation.*
"Oh, you're sure to do that," said the Cat, "if you only walk long enough."
Lewis Carroll, Alice's Adventures in Wonderland

For the college or university administrator, to get "somewhere," as Alice did, is not enough. A sense of institutional direction is vitally important. An administrator, therefore, must count initiating and sustaining a planning process among his most important responsibilities. Effective planning provides a logical framework for organizing, staffing, leading, evaluating, and developing the work of an organization.

This chapter provides a general perspective on institutional planning. We define several basic terms, discuss the goals of planning, and identify the outcomes that planning can produce. General issues related to the selection and employment of planning processes are also discussed. Rather than encouraging adoption of a particular approach or system, we stress the importance of planning and provide ideas that can help the administrator in considering a planning process or in evaluating and strengthening ongoing planning activities.

BASIC TERMINOLOGY

Although institutional planning is a popular topic of discussion, experts do not agree even on a basic terminology. "Mission," "goals," and "objectives" have different meanings for different people. Since these three terms occur frequently throughout the *Handbook*, it is important that we define them at the outset.

The college *mission* is a statement of general purpose and philosophy that defines in the most inclusive terms possible the institution's reason for existence and the clientele it is meant to serve. The mission statement should be specific enough to provide direction for planning and goal development while not being unnecessarily exclusive.

A *goal* states a specific direction in which an organization intends to move to accomplish its mission. Goals are ends to be accomplished; they can be stated in quantitative or qualitative terms, and they should be consistent with the mission of an organization.

Objectives, by contrast, are short-term targets to be achieved in order to accomplish the more general goals. As such, objectives are specific and quantifiable and must be clearly related to the goals and, ultimately, to the mission. For example, if the mission of an organization is to provide air transportation, one of its goals may be to move people from New York to San Francisco at the fastest possible speed, lowest cost, and with a reasonable level of safety. Several objectives might flow from such a goal, such as purchasing aircraft, retaining and training flight crews, and providing support services. The objectives address means. Mission and goals tend to be longer range and less subject to change than objectives.

GOALS OF PLANNING

In planning for the future of a complex institution such as a college or university, there are many possible goals. From a practical point of view, planning can help a college or university become more responsive to the changing needs of the student marketplace. An effective planning process should provide answers to five marketing questions: (1) What is the mission or purpose of our institution? (2) What are the unique strengths of this institution? (3) What is the nature of the market we are serving? (4) How do we communicate honestly and without exaggeration what we hope to achieve with students who come to our institution? and (5) How do we accomplish what we hope to achieve in the most effective, efficient, and humane manner? The answers to these questions are critical for an institution and central to a meaningful planning process.

From a somewhat different perspective, effective planning enables an institution to move consistently in a coherent direction about which there is general consensus. The development of a consensual plan can give the entire college community a clear sense of its future path. When diverse elements of a campus community have participated in developing a plan and have agreed to it, institutional decision making at every level is more efficient and consistent. The potential impact of every decision, from individual course design to major capital construction, is viewed in a broader perspective. Planning involves the evaluation and identification of organizational strengths and weaknesses that should receive continuing attention. If planning is done in a regular, cyclical fashion, institutional change can occur in a gradual and systematic manner.

There are several positive implications once consensus about direction is reached. Planning plays a particularly important role in evaluation. Personnel can be evaluated in terms of their contributions to the achievement of organizational mission and goals. Options regarding the deployment of available material resources can be evaluated and realigned according to predetermined priorities. Personnel and other resources can be allocated to meet the most pressing needs, and intensive effort can be directed toward acquiring resources that are most critical to achieving institutional goals.

Another major benefit of planning is the identification of a *propitious niche*—that is, a special role for the institution. This is particularly the case when planning includes mission clarification. Planners can move toward the identification of a propitious niche for their college by asking themselves, "Who, if anyone, would miss this college if it were to close?" Every organization must define what it does or can do best and build its plans, organization, and services around this strength. Berea College with its work program is a notable example, as are St. John's University ("Great Books") and the College of the Atlantic (ecological issues). Finding a propitious niche allows the institution to establish goals and to design programs and services around its strengths and community needs. And the propitious niche concept, which is helpful during periods of expansion, is essential at times of zero growth or decline. The institution most likely to survive is the one that has defined its distinctive character and knows its strengths and weaknesses in this context. It has found its special role and can plan the future around that role, while those institutions that have no specific identity may find survival more difficult.

LIMITATIONS OF PLANNING

Planning can be helpful but there is much it cannot do. Planning cannot substitute for such hard decisions as increasing tuition or reducing faculty or staff. As a matter of fact, planning is often used as a means of deferring these difficult decisions. But planning by itself cannot produce a balanced budget or attract more students, and it cannot increase endowment or identify new publics. It can only provide a way to study options carefully so that better decisions can be made.

Neither does planning eliminate differences of opinion. In fact, it should provide an opportunity for all sides to be heard and for reasonable positions to be debated. Planning creates a framework for discussion and decision making and facilitates the development of basic consensus about institutional direction.

Planning does not guarantee successful implementation of a new program that emerges from this process. In particular if the planning process is "owned" only by the administration, there is no assurance that a new program will be accepted or implemented with enthusiasm by other members of the campus community. The norm for autonomy ("academic freedom") on campus and the independence of the academic culture (see Chapter 3) make it essential that planning involve everyone who will participate in the implementation of the plan.

Planners must also remember that planning, by definition, is an attempt to look toward the future. Regardless of the good will and hard work of those involved, planning is only as good as the forecasts and assumptions on which it is based. Because the people who make forecasts and assumptions are not infallible, the further the plan reaches into the future, the more important it is that both planners and those who use the plan recognize their own fallibility and include readjustment procedures in the master plan. Planning can always be impeded by less noble but all-too-human attitudes found even in administrators. Rigidity of outlook and the refusal to give up on dreams that are clearly impossible can severely handicap the planning process.

> *"These complex managerial tasks require a set of management processes that enable the college administrator to work effectively with other members of the college community."*

In some ways planning involves a paradox. In the planning process, forecasts and judgments are made involving commitments to people and resources for years to come. On the other hand, there is nothing permanent except change. A college may commit itself today to establishing new majors, initiating new sports programs, granting tenure, and constructing buildings with labs or studios. In a year or in ten years, these commitments may become burdensome or obsolete. For those opposed to planning, this dilemma can serve as a convenient excuse for not planning at all—like the sailor who won't leave the shore because the wind may change. Such a timid sailor will never be in danger of a shipwreck but neither will he get any closer to his destination. For those willing to establish plans that provide for navigational changes, the dangers of planning are substantially reduced.

BASIC ASSUMPTIONS ABOUT PLANNING

Once a college or university has acknowledged the limitations of planning and has decided that it is a useful activity, a process appropriate to institutional needs must be selected. Whatever the process, however, there are certain basic assumptions that underlie every planning model currently in use. First, planning provides a rational framework that will serve as a basis for organizing decisions in a consistent and effective manner. Second, consensus building is a critical part of any planning process. Unless there is consensus within the college or university community about the mission of the institution, planning has no foundation from which to proceed. The broader the ownership of a plan and each of its parts throughout the institution, the more likely it is that the plan will have an actual impact on decision making.

"Planning is a cyclical process. It is never *finished. Annual reviews, updates, and revisions are essential."*

Third, the president and other top administrators are responsible for initiating, encouraging, supporting, and evaluating planning because they are responsible for the achievement of goals. Mere verbal encouragement is not enough. A president who genuinely supports planning makes available to the planners whatever personnel, data, and dollar resources they need. Most importantly, he sees to it that the plan does in fact become *the* blueprint for institutional decision making. Every decision made and, of course, the budget, which is the concrete manifestation of all decisions, should be guided by and based on the plan. Concurrent with this administrative responsibility, however, must be a sense of joint ownership for the outcomes of the planning process among both administrative and nonadministrative staff.

Fourth, to be effective, planning must be long range. For colleges, long range generally means five years. From the outset a planning group may try to develop a plan that actually stretches five years into the future but it may be several years before they succeed. The skills needed to project five years ahead must be acquired and cultivated.

Fifth, planning is a cyclical process. It is *never* finished. Annual reviews, updates, and revisions are essential. This allows for incremental rather than cataclysmic change, and it is a basic management principle that small changes can be absorbed by an organization without major upheaval. Because planning is cyclical, it is possible to monitor the progress of plans and to adjust for inaccurate forecasts and changing conditions. As programs are successfully implemented, the organization may drop old goals and objectives from the plan and add new ones that respond to changing conditions.

Finally, planning involves a total system. While it is possible to single out individual parts of planning processes or to single out planning as one institutional activity, in reality these parts are integral to a larger system. Thus planning options or planning decisions that create change at one point in the system will also generate corresponding changes at others.

PLANNING PROCESSES

There is no single planning model that is appropriate to every institution. It is important, however, to point out that just as there are certain principles that underlie the business of planning as a whole, so also are there basic components that should be found in every planning cycle. In the largest sense, these components are *people* and *information*, interrelated through a *process* or *paradigm*. Whatever planning system is finally adopted, the model must be appropriate to the institution's style, temperament, sophistication, and the quantity and quality of resources it is prepared to commit to the planning process.

People

The people who do the planning are at the heart of the process. While a planning effort requires data and resources, its success depends on the commitment, insight, and good judgment of the people involved. The skills and cooperation of those who provide the data are also vital to the process. Finally, it cannot be stressed too much that success depends on the acceptance of the plan by those who will be affected by it, and this in turn usually correlates with the amount of their participation in the planning process.

The selection of personnel to serve as planners is critical. Planning groups are usually led by the chief administrative officer because, in most situations, he is the one charged with major planning responsibility. Other members may include trustees, administrators, and faculty. Students, alumni, and members of the community or church may also participate. It is essential that individuals involved in the plan have objectivity, insight, and creativity; they should be able to put the mission of the college or university ahead of departmental or jurisdictional allegiances; and they should have the ability to deal rationally with competing, conflicting, and sometimes unsettling ideas. Prospects for successful planning will be substantially decreased if members have been selected by specific constituent groups and feel themselves bound by their group's interests. This does not mean, however, that people should put aside their unique experiences or viewpoints. A variety of perspectives is essential to institution-wide planning.

"The modern collegiate institution is operated by a large administrative staff, and its key administrators, like those in business and industry, have become detached from the daily operations of the institution and its primary activity, education."

If a planning group is to function effectively, the chief administrative officer should consider appointing a staff person as *coordinator*. On either a part- or full-time basis, the planning coordinator expedites the process by preparing agendas, scheduling meetings, arranging for facilities, preparing or collecting materials and background information, and keeping minutes. Such a staff person makes the planning process operate more efficiently and effectively by relieving other members of the team of time-consuming logistical and clerical work. Often the coordinator is the director of institutional research, an assistant to the president, or a faculty member or administrator who is provided released time for that role. In any case, the person should be (or become) familiar with the planning process the institution uses, its academic program, financial records, market trends, and data collection capabilities. In addition he should be sensitive to, but not captured by, the campus political factions.

> *"With the increase in size and influence of the nonacademic staff, faculty and lower-level academic administrators in large institutions look with suspicion on planners, business officers, and fund raisers. This suspicion is often mutual."*

Because comprehensive planning affects everyone in the campus community, broad-based participation and frequent dissemination of information can help eliminate negative attitudes and suspicion. There are, however, difficulties inherent in broad-based participation. If the planning team is large (more than twelve to fifteen), the group may be unwieldy. Politicization is also possible, especially if members see themselves as representatives of constituencies. A larger overall group is practical only if the model adopted by the institution requires several distinct task groups at various stages of the process. Even when the planning team remains relatively small, other people can be involved through subcommittee assignments, preparation of special studies or reports, data analysis, open hearings, and similar activities. To the greatest extent possible everyone who wants to participate should be given the opportunity, and communications and suggestions should be encouraged.

While broad participation and consultation are helpful and consensual decisions have great value, trustees and administrators must remember that they bear the final authority and responsibility for the institution. Therefore they must exercise authority in a judicious, productive manner. Once recommendations have emerged from the planning process, trustees and those to whom the board has delegated decision-making powers must approve or disapprove the recommendations.

Truly comprehensive planning permeates the organization. While the planning team focuses on the long-range plan, administrative and academic personnel must conduct the operational planning that deals with short-range objectives, budgets, and personnel needed to meet long-range institutional goals and objectives. It is crucial that departmental planning be coordinated with the broader institutional plan to ensure that limited resources are marshaled to fulfill institutional initiatives. Because planning is hard work and therefore tends to be put off as long as possible, the planning coordinator should arrange schedules for specific planning assignments at the department level.

Finally, planners must remember that people tend to resist change when it is perceived as negative or threatening. Planners must conduct and present their work in ways that will build positive attitudes. It is important that as much time as possible be allowed for consensus to develop. When change is necessary, incentives that lead to professional, social, or personal satisfaction should be provided. The changes should be presented in ways that show a clear relationship to the present system or program *and* to other parts of the plan upon which the community has agreed. New goals and objectives should be few and simple, and they should be divided into their component parts so that change can occur incrementally. Comprehensive change in a labor-intensive organization such as a college or university has great potential for results that will eventually be perceived as valuable, but, more often than not, anxiety and distrust will accompany the process. Comprehensive planning that is sensitive to human concerns can allay this anxiety and thereby increase the likelihood of success.

Data

There is more to planning than the careful selection and management of personnel. Without substantial, accurate, and reliable data, planning is an exercise in guesswork. Comprehensive management information systems are key tools for day-to-day administrative activities and for planning. In fact, as institutions involve themselves in systematic planning processes they find that they become more sophisticated users of data, particularly if their past reliance has been minimal.

But planners must take care. Just as people are not the total resource in planning, neither can data and analysis systems be the sole or even the primary basis for institutional decisions. Emphasizing data and data analysis while neglecting the human and philosophical dimensions of institutional functioning is just as bad as ignoring the critical contributions that carefully selected, collected, interpreted, and displayed data can make to an effective planning program.

> *"Regardless of the good will and hard work of those involved, planning is only as good as the forecasts and assumptions on which it is based."*

Data used in the planning process can be broken into four levels, from the simplest category to the most complicated: operational, analytic, projective, and comparative. Each type has a specific role in the planning activity. Accurate *operational* data are basic to daily management; as the foundation stones for all data manipulations, they enable planners to locate the institution in its present situation and environment. Operating data include information about students, faculty, and other personnel critical to the institution. Information about programs, facilities, finances, and the external environment also fits into this category.

Although statistical, quantifiable data play a major role, "soft" (less quantifiable, more subjective) data are necessary here and in succeeding stages.

Discrete descriptive data can be combined in interactive ways to produce more comprehensive *analytic* data. Analytic data useful to planners might include, for example, the combination of course enrollments, faculty salaries, and other specific costs to produce the cost of student credit hours on an institutional and a course-by-course basis. Other analytical uses of data might produce information on the cost of recruiting students or raising money, or might produce a clearer understanding of attrition or the impact of institutionally funded student financial aid on the college or university budget.

The third type of useful data involves *projections* from the operating and analytic data. The more effectively and accurately these projective data can be developed and presented to planners, the better the planners can define possible futures. The projected futures can then be used as a guide to the development of strategies and activities to achieve goals implied in the future scenarios (or desired futures) or to prevent the development of specific unwanted conditions.

"Probably the most common criticism is that the contemporary administrator has become a businessman rather than an educator or scholar. It is said that he is more concerned with the operations of the institution than with its substance."

A fourth type of data, *comparative,* is also helpful to those fortunate enough to have it available. Planners who have access to data that compare their situation to those of other similar or competing organizations may better understand the extent to which their case is distinctive and therefore in need of unique strategies, or whether solutions used by other institutions with the same problems can be useful. Obviously, comparative data must really *be* comparative. Data must be collected in a consistent manner, and common definitions and computations must be used.

Data at all four levels on both available and needed resources are particularly important. Frequently when nearing the completion of a cycle, planning committees discover that their plans cannot be implemented after all because of inadequate financial or physical resources. The availability or potential availability of physical, financial, and human resources should be considered throughout the planning process, not just at the end. New goals or programs may tax existing resources or require an audit of personnel to determine if staff should be expanded. These data serve both planning and operational needs in establishing priorities. Although most administrators resist program reduction or elimination, good management and realistic planning often require cutting marginal programs.

As the planning team proceeds, budget projections provide essential ties to reality. One- to five-year financial projections are needed when the team is considering proposed goals and objectives. While these projections often create frustration, they help the planning committee and administration focus on existing programs and activities to determine whether a reordering of priorities is necessary. Viewed as a system, planning can help break the chain of budgets resulting from automatic increase or decrease of the previous year's items. The integration of planning into the total college management process provides a format for assessing whether programs and priorities are consistent. Through comprehensive planning, decision makers have a powerful rationale for sometimes controversial budget choices. Furthermore, planning also enables administrators to present a well-documented case for launching new fund drives or approaching foundations and other potential contributors.

Processes

In addition to people and data, process is a critical aspect of the planning activity. Process brings people and data together. Although many different process models can be used, seven basic stages should be present either as separate activities or as functions incorporated into one or more of the planning phases.

The first stage is the clarification of the mission and basic functions of the institution. This involves an examination of the college's *raison d'être*. The basic responsibility of trustees and administration, whether admitted or not, is the survival and continuation of the institution except in the rare case where the trustees have decided on closure. Survival must always be the first priority for an institution just as it is for an animal or a person, and survival must be assured before other needs can be addressed.

Once survival is guaranteed—at least for the present—the mission statement goes on to provide scope and direction by addressing such questions as: What are the basic assumptions and philosophy that serve as foundations for the institution's existence (e.g., theological, epistemological, political, or public service)? For whom does the institution exist (age, sex, geographical origin, cultural background, or nationality of the student population)? What are the institution's primary purposes and functions (e.g., teaching, research, community service)? What general types of programs and orientation can be offered (e.g., liberal arts, general, technological, or graduate education)?

"Effective planning enables an institution to move consistently in a coherent direction about which there is general consensus."

The mission statement serves as a foundation in that it defines the character of the college or university. The mission statement and its underlying principles and suppositions should be debated and refined until consensus is reached by those responsible for the continuation of the institution. A "perfect" statement is probably not possible, and the energy absorbed and the frustration involved if the process is prolonged unnecessarily may even be counter-productive. Polarities may develop, which could reduce the level of cooperation needed later in the process (particularly in implementation). A mission statement that is generally agreed to is probably adequate for planning, especially during the first cycle. The remaining refinements can be accomplished in subsequent rounds of the planning cycle. On the other hand, failure to establish a reasonably clear and concise mission will thwart any further planning.

In the second stage, the nature of the institution should be described. Once the mission has been clarified, planners often tend to proceed at once to goals and objectives. However, it may be best to delay this step until after an audit or inventory has been made of the institution's strengths, weaknesses, and its present and potential position in the marketplace. It is at this stage that data enter the process. The specifics of such an audit might include the following: a list of the college's characteristics developed by paper-and-pencil tests, opinion samples, open forums, and extended discussion by the planning team; a description of lines of responsibility and authority, and identification of any major areas of weakness in the line-staff decision-making process; a list of policies that cannot be changed or violated without changing the basic nature of the college; a description of the environment within which the college operates, including factors over which it has no control; a description of characteristics or intangible assets that will be useful in carrying out the mission; a description of characteristics or deficiencies that might imperil achievement of the college's mission; and statements about specific aspects of the future that the college can neither predict nor control but must consider in the planning process (rate of inflation, for example).

"Planning can be helpful but there is much it cannot do. Planning cannot substitute for such hard decisions as increasing tuition or reducing faculty or staff."

At the third stage, setting goals, planning and forecasting begin in earnest. Goals are quantitative and qualitative statements that reflect what the institution ought to be: broad aims and desired levels of achievement for its major components. Planners should keep in mind that planned activities, processes, and procedures are not ends in themselves but merely means to reach the real ends—the institution's goals.

During the fourth stage, objectives are defined. Objectives are means to the ends (the goals), and short-term activities and programs are identified as vehicles for achieving the goals. When the objectives are accepted, the specifics upon which all institutional efforts are focused (both short- and long-range) are also accepted. Performance standards are frequently developed during the objective-setting phase. The objectives must be tested against the data collected in the third stage and any new information available, and the acceptability of the objectives to on- and off-campus constituencies should be estimated. (Much of this work can be done by staff.) Objectives should also be compared to expected trends. If they run against trends, specific actions should be planned to deal with this problem.

"Effective planning provides a logical framework for organizing, staffing, leading, evaluating, and developing the work of an organization."

Planning that stops here, after the development of goals, objectives, and strategies, is no more than an academic exercise. Planning has impact only when decisions are made, when plans are implemented, when assignments are delegated, and when individuals begin to work on their assignments. Once broad-based support is achieved for the goals and objectives, the planning team and staff must agree on the necessary priorities, strategies, programs, budgets, and assignments for achieving them.

The fifth stage, planning for implementation, should not be relegated to a secondary position nor delegated to one person, a subcommittee, or another committee. All of the information collected during the first four planning stages is directly relevant to the fifth stage; and if responsibility for this function is delegated to another person or group, at least some essential information will be lost in the transition.

Perhaps most importantly, at this stage the planning group must determine the extent to which the institution can adjust to and sustain a program of major change. In some instances a substantial change effort may create major problems in a college or university and leave it in worse condition than before. A creative plan for increasing stabilization may contribute more than change will to the ultimate achievement of institutional goals. Stabilization may involve the celebration of current or past achievements, further assessment of the institution, building of consensus around major institutional goals, recognition of the contributions of individuals or groups, building a sense of community, or providing overworked staff with a "breathing space" for reflection and, when necessary, fence-mending.

Strategies for change generally affect one or more of three domains: structure, process, or attitudes. Change in any one of these domains usually requires or eventually results in change in the other two.[1] College administrators tend to concentrate exclusively on the structural domain. They assume that change in policy, funding patterns, schedules, or performance review procedures or standards are sufficient to meet goals. The attraction of structural change is understandable. Administrators often have the authority and resources to make changes in structure but not in processes or attitudes. It also usually takes less time and money to change structure than to change how people work toward goals or how they feel about the work, the goals, and the institution. Nevertheless, changes in processes and attitudes are equally important, and people who plan for implementation must consider all three domains.[2]

Planning for implementation involves turning the plan (objectives) into actions intended to achieve desired ends (goals). At least three specific assignments should be carried out by the planning team and administration or under their supervision. First, they must identify broad strategies and guidelines for change or stabilization that will achieve the specific goals and objectives. Second, programs based on these strategies must be designed to include activities, tasks, schedules, and systems for reaching the goals and objectives. Third, there must be a delegation of responsibility and authority for project activities and formulation of specific project budgets and schedules.

The sixth stage is implementation of project activities. It involves all the basic functions of management—organizing, staffing, leading, evaluating, and developing—that are covered in detail in the remaining chapters of this *Handbook*.

> *"Process is a critical aspect of the planning activity. Process brings people and data together."*

The seventh stage of planning, monitoring, reviewing, and recycling, is by no means the end of the process. Planning is a continuous process. Once implementation has begun, the planning team should meet periodically to evaluate progress reports, determine adequacy of schedules, assess changing conditions, and reflect on what has been learned from the projects that have been initiated or completed. Plans require continuing review and updating. Goals, objectives, and strategies should never be considered rigid or static. Once planners have set their course, like sailors they must keep an eye on the weather, the winds, and the tide, and make corrections when necessary.

Although these seven stages of planning could serve as a model, it may be more practical to use them as a guide to evaluate the adequacy of other models, such as those in *Documents 2-1, 2-2,* and *2-3.* If there is a perfect planning model, it is the one that can be modified to fit the institution as the times, the particular circumstances, and the people involved change.

STARTING POINTS

Planning doesn't always begin with mission clarification. In fact, except in those rare cases when people are working with an institution still in the process of being born, planners deal with ongoing systems. This means that mission usually will not be defined in purely ideal terms but, rather, should reflect what is happening at the institution. Even if a college cannot decide where it wants to go, it should be able to identify what it is doing now and in what direction it is likely to go if no major changes are made. The well-endowed and amply enrolled independent college may be able to keep its traditional mission of a hundred years ago. On the other hand, institutions that must be responsive to changing needs or purely local demands (the community college, for example) may define their mission mainly in terms of their market. Most colleges, however, will define a mission that lies somewhere between the strictly utilitarian and the purely ideal. But whatever the mission, it should be clearly understood before any of the subsequent steps of planning are taken.

A college or university may have more than one mission, and this is not necessarily a problem unless the missions are mutually exclusive. When missions are in opposition, something resembling institutional schizophrenia results. In this case, planning should work toward consensus on one mission over the other or, better yet, attempt to find a creative way to merge them. At the least, because controversy usually results in interest and involvement, planning can derive institutional energy from these polarities. An institution in this predicament may find strategies for stabilization more appropriate than those for change.

While most administrators recognize the importance of planning, many find it difficult to do, and some never even begin. But occasionally, even with the best intentions and the most dedicated of efforts, planners fail. Among the reasons for failure, six are particularly important.

First, planning may fail because of lack of commitment. The personal commitment of administrators at all levels is essential, and planning will not be successful without it. But in addition planners must have the authority they need, and they must have the resources and support. Most of all, the results of planning efforts must be used in the day-to-day conduct of the institution's business.

> *"While broad participation and consultation are helpful and consensual decisions have great value, trustees and administrators must remember that they bear the final authority and responsibility for the institution."*

Second, planners may fail to set meaningful goals. Goals must be clearly understood; they must be attainable; they must be specific (actions can be devised to achieve them); and they must be verifiable (all will know whether goals have been accomplished). Goals must be realistic, taking into account both strengths and weaknesses of the institution and the internal and external forces that may affect the achievement of the goals. And if goals are to be consistent, they must be formulated according to valid and generally understood premises.

Third, once general plans have been worked out, sound strategies for their implementation must be devised. Otherwise the best plans are just wishes and hopes. Fourth, some administrators become so involved in a single aspect of planning they lose sight of the total scope of the effort. Unless smaller pieces of the plan are seen as part of the larger framework, planning will be disjointed and generally ineffective.

Fifth, effective planning requires firm administrative control. This is particularly important in establishing deadlines and evaluating the planning effort itself and how institutional efforts conform to or depart from the plans. Finally, it is human nature to resist certain kinds of change, particularly when change is perceived as negative or threatening. Because the possibility of change is implicit in planning, resistance may focus on the actual planning process rather than its results, and this resistance can destroy planning or at least make it ineffective. The planning group should be aware of any possible problems of this nature and develop strategies to deal with them. In this way it can avoid adding still another planning effort to the heap of discarded programs already marring the academic landscape.

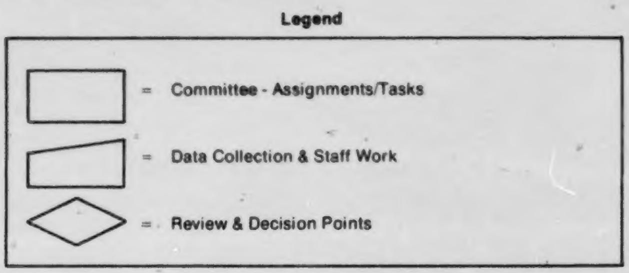
In summary, effective and continuous planning requires a high degree of commitment and skill. Despite its difficulties, planning is the first and one of the most critical steps in successful administration. When properly executed, long-range planning starts a cycle of organizing, staffing, leading, evaluating, and developing that can significantly improve the effectiveness and purposefulness of the college or university. Planning is difficult, time consuming, and expensive, and it does not guarantee survival; but failure to plan is an invitation to disaster.

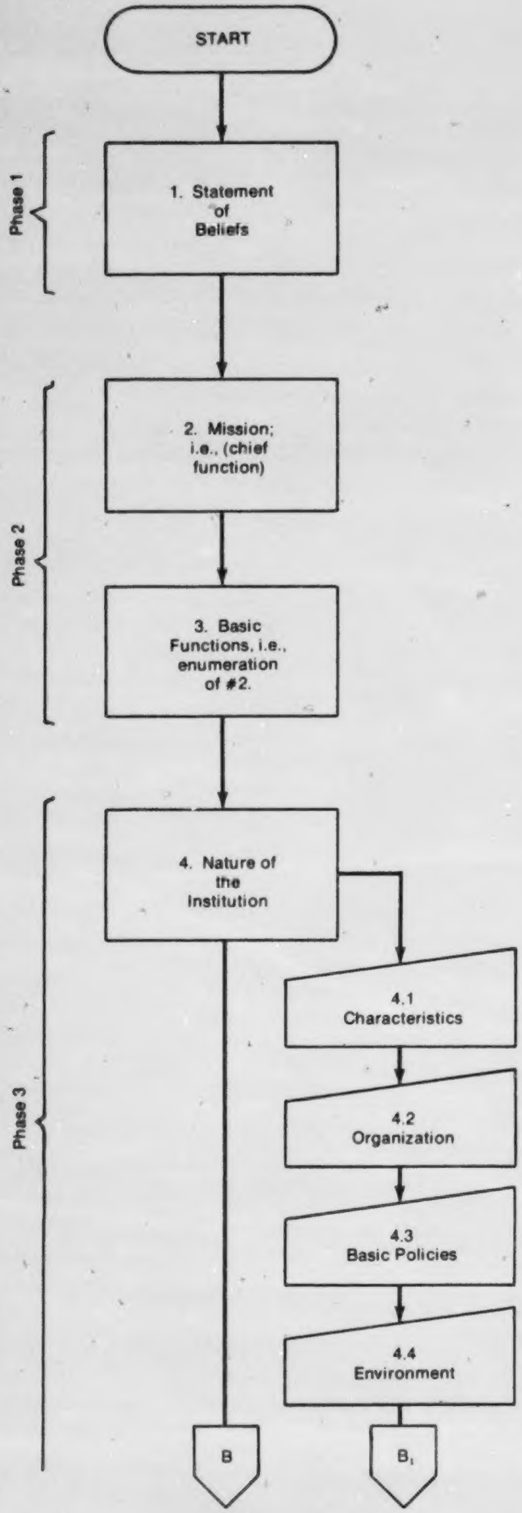
NOTES

1 Goodwin Watson and David Johnson, *Social Psychology: Issues and Insights,* 2d ed. (Philadelphia: Lippincott, 1972), pp. 196-221.

2 See also William H. Bergquist and William A. Shoemaker, eds., *A Comprehensive Approach to Institutional Development,* New Directions for Higher Education, no. 15 (San Francisco: Jossey-Bass, 1976), chapter 1.

Long-Range Planning Model


Legend
= Committee - Assignments/Tasks
= Data Collection & Staff Work
= Review & Decision Points


START
Phase 1
1. Statement of Beliefs
Phase 2
2. Mission; i.e., (chief function)
3. Basic Functions, i.e., enumeration of #2.
Phase 3
4. Nature of the Institution
4.1 Characteristics
4.2 Organization
4.3 Basic Policies
4.4 Environment
B
B_1

Nonarguable statements underlying the principles and philosophy of the college. Disagreement here will frustrate the planning team throughout its efforts.

The primary function and purpose of the institution. The broadest and most comprehensive statement that can be made about the continuing purpose. Failure to establish the clear and concise mission will thwart any further planning.

Amplification, clarification, and enumeration of the functions included above. These may be felt intuitively; however, they should be spelled out. These first three steps establish the cornerstone for the planning process that follows. There should be a complete understanding of why the college exists.

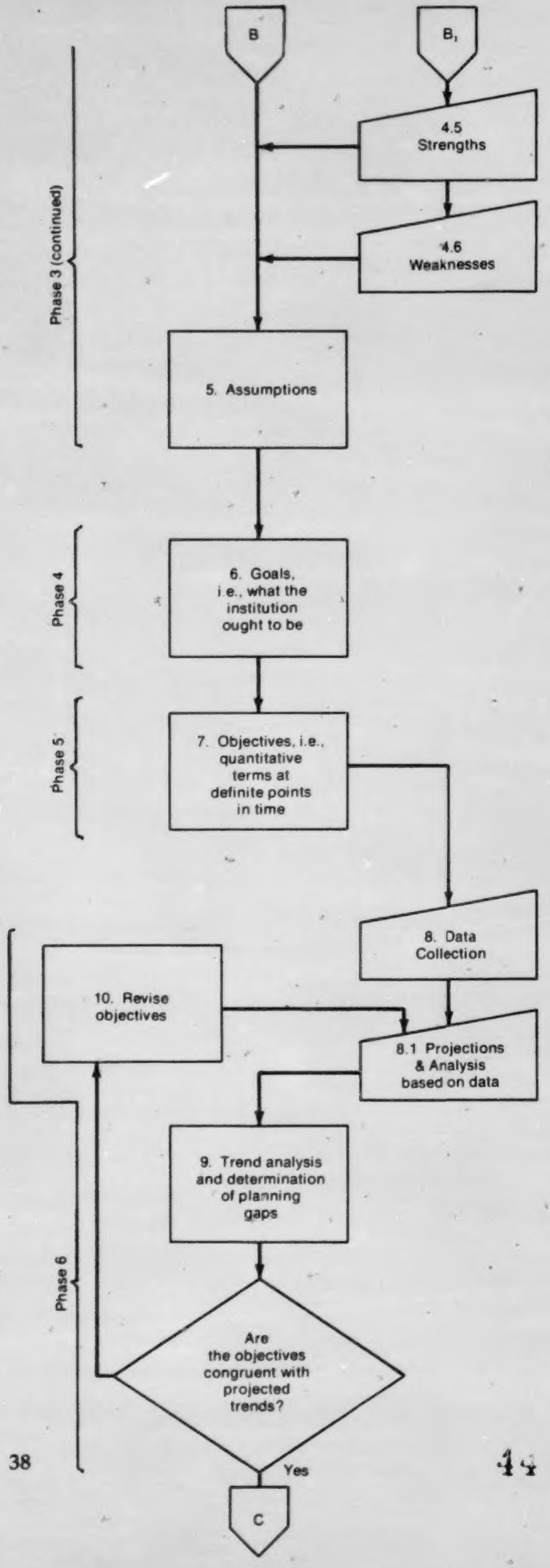
The next six steps are part of a college inventory or audit that will give an overview of what the institution is, here and now.

List the characteristics of the college through paper/pencil tests, opinion samples, open forums, and extended discussion by the planning team.

A description of lines of responsibility and authority. Identify any major areas of weakness in the line staff, decision-making process.

Those policies that cannot be changed or violated without changing the basic nature of the college.

A description of the environment within which the college operates, especially factors over which the college has no control.


B
B₁
4.5 Strengths
4.6 Weaknesses
Phase 3 (continued)
5. Assumptions
Phase 4
6. Goals, i.e., what the institution ought to be
Phase 5
7. Objectives, i.e., quantitative terms at definite points in time
8. Data Collection
10. Revise objectives
8.1 Projections & Analysis based on data
Phase 6
9. Trend analysis and determination of planning gaps
Are the objectives congruent with projected trends?
Yes
C

Characteristics or intangible assets that provide a definite advantage in carrying out the college's mission.

Characteristics or deficiencies that impair ability to carry out the college's mission.

Statements about the future that cannot be predicted by logical process and over which the college has no control, but which must be considered in the planning process; e.g., rate of inflation, etc.

Quantitative or qualitative statements that reflect broad aims and desired levels of achievement for the major components of the institution. (Caution: care must be taken to focus upon goals, not means.)

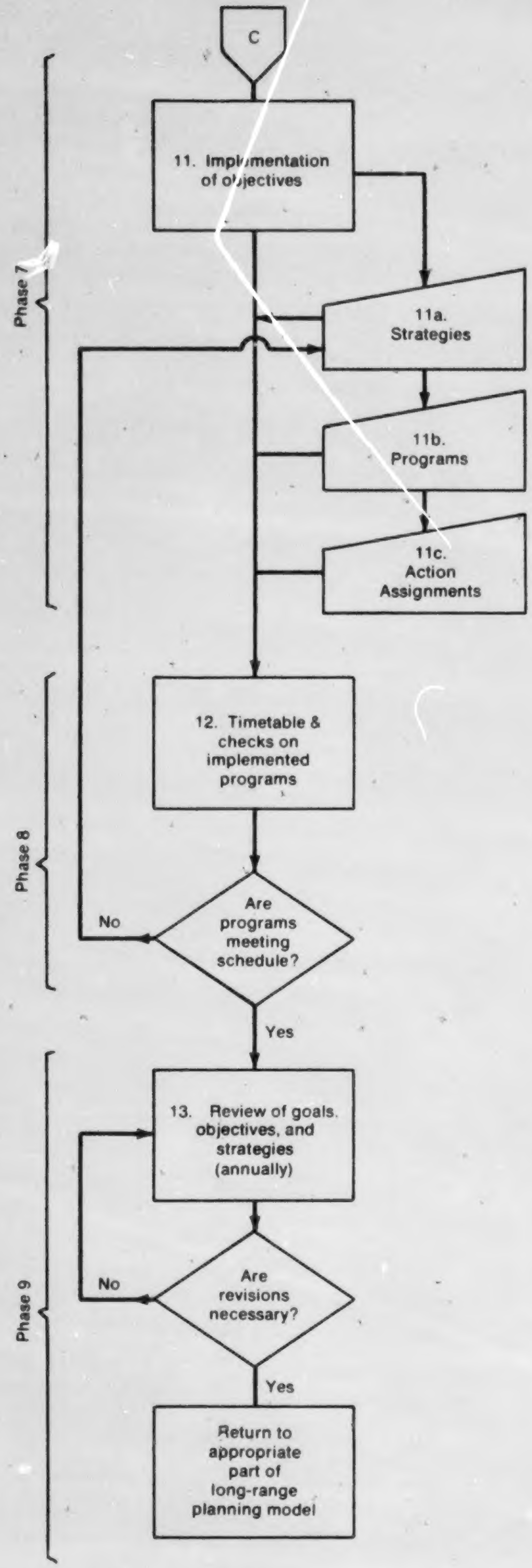
Specific ends toward which all institutional efforts are focused—both short and long range. Standards of performance and management by objectives characterize this phase.

Determination of what kind of data base is necessary to analyze trends for determining whether or not the objectives can be met, now as well as later.

Determining the natural momentum of the institution as a starting point from which projections can be made and gaps determined.

Analyzing the gaps that exist between natural momentum and specific objectives stated in phases 6 and 7.

Are the objectives realistic or do they need to be revised?


C
Phase 7
11. Implementation of objectives
11a. Strategies
11b. Programs
11c. Action Assignments
Phase 8
12. Timetable & checks on implemented programs
No
Are programs meeting schedule?
Yes
Phase 9
13. Review of goals, objectives, and strategies (annually)
No
Are revisions necessary?
Yes
Return to appropriate part of long-range planning model

The next steps represent the process the college will use to accomplish the goals and objectives.

Broad guidelines that force the institution to provide maximum support for the achievement of the goals and objectives.

Programs (ways and means) derived from strategies that constitute a schedule or system for reaching desired goals and objectives.

Projects, schedules, and completion dates assigned to particular individuals.

Periodic meetings, perhaps monthly, for reviewing progress reports, schedules, and implementation problems.

Are the projects, schedules, and assignments realistic or do they need to be revised?

Plans should never be rigid and inflexible. Perhaps annually, review and revise plans as they relate to the other normal operations of the college, i.e., annual reports, budget, curriculum, etc.

What revisions, if any, are necessary?

If revisions are necessary, return to appropriate phase of the planning model.

Document 2-2

Title: A College Planning Cycle

Source: Reprinted from *A College Planning Cycle* by permission of the National Association of College and University Business Officers

General Description:

The procedures for planning and budgeting represent a flexible, adaptable, participatory system that can be adopted easily by any institution wishing to implement it.

A simplified outline of the system is shown in Figure 1. Department-level units of the institution are requested to prepare five-year plans and budgets. These are reviewed by the planning team and the analytical studies team, and eventually are incorporated into a long-range plan which becomes the starting point for the next annual cycle. While the system can be adapted to fit institutional idiosyncracies, there are certain cardinal features or elements which must be retained. These features include: (1) the use of a planning and budgeting calendar of events; (2) two separate groups—the analytical studies team and the planning team; (3) wide participation by most if not all constituencies; and (4) an annually updated five-year plan.

The sample planning calendar (Figure 2) shows additional details of the system and provides a graphic chronology of events and their schedule and duration. Using a calendar insures no hidden agendas; it acts as a built-in expediter to make things happen, and presents a clear overview of the system to all those involved in planning. This does not preclude adaptation of the calendar. It easily can be translated for institutions whose fiscal year does not begin on July 1, or it can be varied in duration to fit individual exigencies.

The use of the analytical studies team (operating independently of the planning team) is another vital element of the system. In a manner not unrelated to the governmental principle of separation of powers, this committee offers a free forum for faculty and student participation and questions. A properly functioning analytical studies team allows an increased sense on the part of faculty that input to the system can be made; it provides its members with an intimate knowledge of how the institution actually functions, and requires their direct support of the planning recommendations ratified or originated by them.

The analytical studies team, which reports to the planning team, acts in an advisory capacity—a role that is important because of its location in the system, the charge given to it, and its constituency. This role carries a sense of obligation; perhaps no other agency in the institution, outside of the president's office itself, has the obligation to review the *total* institution, its problems, and its strengths.

The planning team, presided over by the president, usually is composed of the president's immediate staff. It has final authority and responsibility for drawing up plans and budgets for governing board approval.

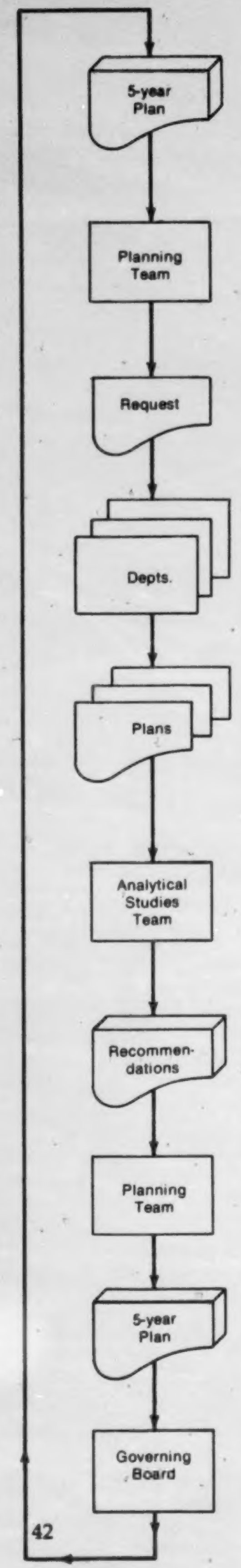
An institution involving itself in the planning process for the first time invariably will discover a lack of adequate data. Adequate data for planning may in fact be a contradiction in terms. Certain minimal information, however, is essential. This raises the questions of who develops data, how data is developed, and who maintains information once it is prepared. The answers to these questions must be determined by each institution.

Adequate planning requires at one time or another pertinent, accurate data of the following kinds: staffing tables (including projected sabbatical leaves); cost of instruction by department; total cost of instruction by department; total cost of instruction per student; student aid (by type) per student; faculty and departmental course load;

student enrollment by department and by class; faculty compensation by rank; a line-item budget (including historical cost data); balance sheet assets (including current funds, student loan funds, endowment funds, and plant funds); and various projections of enrollment, cash flow, and capital expenditures.

More information and complete planning documents can be obtained from the National Association of College and University Business Officers, Suite 510, One Dupont Circle, Washington, D.C. 20036.

Figure 1*



Planning Process (Simplified Flow Chart)
The Planning and Budgeting System

1. The cycle begins with an existing long-range plan, or if no plan is extant, it begins with preparation of basic planning assumptions. (See items 1 through 7 of sample planning and budgeting calendar.)

2. The planning team reviews the existing plan, prepares basic planning assumptions, and initiates the process by requesting academic and administrative departments to prepare plans. (See items 1 through 7 of sample planning and budgeting calendar.)

3. Using information they receive in the basic planning assumptions, first academic and then support departments prepare five-year department plans and budgets. (See items 8 through 12 of sample planning and budgeting calendar.)

4. After being reviewed by the planning team, departmental plans, together with revenue estimates, staffing tables, and enrollment projections, are given to the analytical studies team, which will evaluate consistency, compatibility, and economic feasibility, and then recommend modifications to the planning team. (See items 13 through 18 of sample planning and budgeting calendar.)

5. The planning team reacts to the analytical studies team's proposals, prepares final planning and budget documents, and forwards them to members of the governing board for review and approval. (See items 19 through 21 of sample planning and budgeting calendar.)

6. Following governing board approval, the finished plan is published and will become the starting place for the next annual planning cycle (item 1 above). (See item 22 of sample planning and budgeting calendar.)

---

*Reprinted from *A College Planning Cycle* by permission of the National Association of College and University Business Officers.

Figure 2*

Sample Planning and Budgeting Calendar

ACTION STEPS	May 1	June 1	July 1	Aug. 1	Sept. 1	Oct. 1	Nov. 1	Dec. 1	Jan. 1	Feb. 1	Mar. 1	Apr. 1	May 1	June 1	July 1	Aug. 1
Preparation of basic planning assumptions																
1. Review and revise goals and objectives																
2. Review and revise general college policies																
3. Develop institutional environmental assumptions																
4. Develop external environmental assumptions																
5. Prepare revenue estimates																
6. Prepare budget working papers																
7. Secure governing board approval (1-6)																
Preparation of plan and budget																
8. Issue requests for academic program plans and budgets																
9. Administrative review																
10. Review academic program plan and budget summary (planning team)																
11. Issue requests for support program plans and budgets																
12. Administrative review																
13. Review support program plan and budget summary (planning team)																
14. Prepare staffing tables																
15. Prepare preliminary operating budgets																
16. Prepare cash flow projections																
17. Prepare capital expenditure budget																
18. Analyze program plan and budget																
19. Review analytical studies team recommendations																
20. Prepare final plan and budget																
21. Secure governing board approval																
22. Publish plan and budget																

---

*Reprinted from *A College Planning Cycle* by permission of the National Association of College and University Business Officers.

Document 2-3

Title: Administrative Level and Time-Span Planning Chart

Source: Benjamin E. Sprunger, based on an article by Ralph M. Besse, "Company Planning Must Be Planned," *Dun's Review and Modern Industry* 69 (April 1957): 46-48

General Description:

This exercise is a way for an administrator to analyze how time is allocated. The *raison d'être* for planning is the allocation of scarce resources. The effective administrator realizes that his time and that of others in the organization is as scarce a commodity as financial resources. Time is a nonrecoverable resource.

Effective use of time and planning is essential to good administration. Consequently, the higher the rank of the administrator, the greater proportion of time will be spent on planning.

Peter Drucker suggests that the first step toward effectiveness is the propitious use of time.* While time studies have been applied to most manual tasks, minimal attention has been given to analyzing how managers use time. Managers who have done time use analyses have found that much of their time is spent in nonproductive activities that can be eliminated without any loss in effectiveness in relationships.

A number of management analysts suggest two exercises for determining priority use of time and planning. First, periodically—at least twice a year—have a secretary or an assistant record how time is actually used. It is important that this log be in actual time spent and not based on memory or recall. This should be done for three or four weeks in order to provide a representative picture of how time is actually used. From this log the administrator can assess how to use time more systematically as a nonrenewable irreplaceable resource. While each person will need to create a log appropriate to his own activities, the following may serve as a guide in creating such a log:

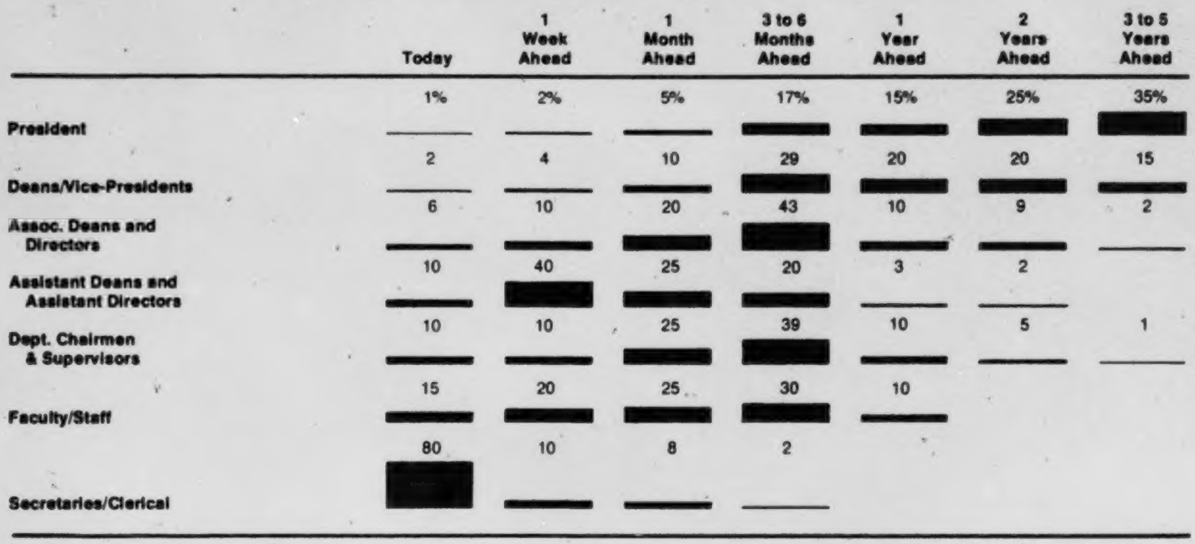
Time Use and Activity Log

Description of Activities	Sun.	Mon.	Tues.	Wed.	Thurs.	Fri.	Sat.	

At the end of a three- or four-week period, the log can serve as a guide to eliminating nonproductive activities, adjusting priorities, and determining proportion of time to be spent on such activities as planning, etc.

A second exercise is the analysis of time spent in planning (other management activities could be substituted) by administrative levels. Upper-level managers must plan further into the future than lower-level managers. The following chart illustrates a suggested time-span for planning at various administrative levels and can be used as a chart for inserting one's own institutional information to achieve a graphic analysis of the priorities given to planning. The amount of time spent on planning or other administrative activity can be derived from the time use and activity log.

Administrative Level and Time-Span Planning Chart



---

*Peter Drucker, *The Effective Executive* (New York: Harper & Row, 1967).

Document 2-4

Title: Tips on Proposal Writing

Source: Benjamin E. Sprunger, based on adaptations from U.S. Government publications

General Description:

Frustration in getting ideas, concepts, and plans accepted by others is commonplace, regardless of whether a top administrator or a staff person is initiating the action. The proposal has become one, if not the most, common tool for getting others to accept or "buy-in" to ideas or plans. As a procedure for communicating new ideas and programs, the proposal is as useful on campus as it is with foundations and governmental organizations.

There are at least two underlying assumptions that support proposals as an effective management procedure. First, the assumption is that the proposal is an extension of the "completed staff work" concept. That is, the staff person, subordinate, or grantee's ideas, plans, or solutions should be so completely thought out, organized, and communicated in the proposal that the supervisor or foundation executive needs only to endorse, grant funds, or order implementation of the activities suggested in the proposal. (For more on the completed staff report, see Chapter 3.)

The second assumption is that a proposal is a springboard to action. Specifically the proposal is a means to define the problem concisely; to suggest a solution or alternative courses of action; to move an idea from "I think we should . . . " to a specific plan of action; and, most importantly, to require those who must approve to take action. Once the top person has the proposal, some action must be taken. If the staff work is done well, the action taken will be to approve it. If the top person modifies the proposal, that is also desirable because the modification makes him a party to the proposal and gives him a vested interest in it. Even if the proposal is "pigeon-holed" by the top administrator, the responsibility has moved from the proposal writer to that person.

Instructions for Use:

Some organizations require proposals to follow a specific format. This is true for some government agencies. But many foundations and institutions have no prescribed format. In these cases the format is left to the person submitting the proposal; however, there are some basic, though not mandatory, elements to a proposal. These basic elements are outlined in the document entitled "Typical Proposal Format."

Typical Proposal Format

What does it contain?

1. Introductory Statements:
   - A. Brief paragraph or two suggesting the problem, need, potential for improvement, and implementation of the idea.
   - B. This should be brief and probably written last.
   - C. If there is a particular problem, state it in the imperative form.

2. Historical Background:
   - A. Outline the history of the problem.
   - B. Bring to the forefront all relevant facts.
   - C. Don't go overboard in this area, but if it has been a traditional problem, play the historical for all it's worth.

3. Rationale for Proposal:
   - A. Justify the need for improvement.
   - B. Build a logical reason for changing from . . . to . . . .
   - C. Implied throughout this section is how things will be improved.

4. The Proposal:
   - A. Spell out clearly and concisely what is proposed, i.e., the problem and how this will reduce the difficulty if not resolve it completely.
   - B. Indicate step by step the implementation of the improved plan.
   - C. If you are aware of some obvious weaknesses or trouble spots, include them in this section.
   - D. This section may be written in outline form, containing tables, figures, charts, etc.
   - E. Indicate how proposed program will be evaluated, and how results will be disseminated.

5. Summary and Conclusion:
   - A. Summary—sentence summarizing each section.
   - B. Be sure to restate problem, as well as proposal.
   - C. If you have definite conclusions, don't overdo summary but concentrate on concise statements of the conclusion.
   - D. Don't emotionally slant the conclusions.

6. Recommendations:
   - A. This section might be incorporated into the conclusions section or vice versa.
   - B. This section restates and/or indicates the action that is to be taken to implement the idea and resolve the problem.

Chapter 3

Organizing

Knowledge will be a safe weapon only *if it is linked to a deeply rooted conviction that organizations are made for men and not men for organizations.*

*John Gardner**

When an administrator organizes, he provides a structure to accomplish tasks efficiently and in coordination in order to meet predetermined goals and objectives. He does this by defining systems and relationships, establishing divisions of labor, assigning duties, and delegating authority.

While many factors affect organizational structure—size of the college or university, type of educational program, students to be served, and available resources—it is important that the organizing process develop directly from the institution's mission, goals, and objectives. For this to happen the organizational structure must be firmly rooted in institutional planning. Any attempt at organizing is likely to be rendered ineffective by internal conflicts over goals: if the institution does not know where it is going, if it has no plan or mission, then there is no basis on which to organize human, academic, and material resources. Even if the mission is just the will to survive, the organizational structure must develop from the planning process to accomplish this goal.

In this chapter we look briefly at the factors that influence organization, particularly the academic and nonacademic cultures that pervade all colleges and universities. We then turn to the three basic organizations with which administrative officers must work: the board of trustees, the administrative structure, and the committee structure. We conclude with a discussion of authority and accountability and give special attention to the types of authority, the difference between authority and power, delegation, the preparation of position descriptions, and the college administrator's dilemma: accountability without authority.

FACTORS THAT INFLUENCE ORGANIZATION

Not only does the administrator in a college or university face perplexing problems in defining often elusive educational goals, he must also deal with difficulties produced by the distinctive nature of the organization that he is asked to lead. Most colleges have two formal organizational structures with which the administrator must be concerned. One is a *policy-making* structure, which is a key part of the governance system that is unique to institutions of higher learning. Because of the tradition of collegiality that has been built into most governance structures, academic policy issues progress upward through a series of subcommittees and committees of the faculty, are passed on by the formal faculty governing group (either the whole body or some sort of representative group), and then move through top administrators and ultimately to the board of trustees for formal action. Once policy is made, however, a downward organizational flow is responsible for *implementing policy*. This is the administering organization. Although we deal primarily with the implementing process in this chapter, the administrator cannot afford to ignore the policy-making structure.

Closely related to the distinction between policy making and policy implementing is a second dichotomy. Two separate and distinct organizational "cultures," which are present in most colleges and universities, determine or at least influence the type of organizational structures that can be implemented successfully. C. P. Snow has described the gap between the humanities and the sciences on campus, which often keeps them separate and prevents communication just at the time when dialogue is most important.[1] So also does the existence of two organizational cultures on campus, the *academic* and the *nonacademic*, prevent equally important dialogues.

The nonacademic culture of a college or university is established along traditional line relationships. The four ingredients that Max Weber postulated as essential to an organization are usually present: specialization of workers by skills, a clear hierarchy of authority, detailed operating rules, and administrators especially trained for their jobs.[2] The director of admissions, for instance, usually has specialized skill and expertise and perhaps even a degree in the field of higher education administration. He usually reports directly to a vice-president of the college or university and has a clear set of operating procedures and objectives, which means his performance can be readily evaluated by his superior.

Contrast this with the relationship of a faculty member or department chairman to the institution. These members of the academic culture usually do not have specialized skills for the performance of their in-

---

*John W. Gardner, *Self-Renewal: The Individual and the Innovative Society* (New York: Harper & Row, 1963), p. 64.

stitutional responsibilities outside of teaching (e.g., committee work, departmental planning, student advising). Rather, they have specialized knowledge in one field, which they usually convey to their students through the use of standard procedures (lecturing, discussions, exams) that do not vary significantly from discipline to discipline. And they share activities such as advising and committee work with their colleagues in other disciplines. In many instances, the faculty and department chairmen have received no formal training in either teaching methods or administration.

"It is important that the organizing process develop directly from the institution's mission, goals, and objectives."

In the academic culture, authority is rarely defined explicitly or consistently. Classroom autonomy is an elusive concept and tenure a two-edged sword, which protects both diversity and incompetence. Perhaps most important is the fact that there are no operating rules other than the subtle but powerful precedents of the academy. Few faculty are told how to teach or what to teach. And faculty can rarely be persuaded to change their instructional methods or the content of their courses in order to be more responsive to the educational mission or specific goals of the institution. The faculty member's first loyalty is usually to his discipline, not to the institution.

Darkenwald and others have described the nature and implications of the academic and nonacademic cultures in some detail.[3] Suffice it to say that the existence of the two cultures precludes a definitive statement about how a college or university should be organized or formally structured.

There are other dual-culture institutions in our society. A corporation has a production and a research unit; a community development agency has a social service and a social engineering unit. In these organizations, however, the less traditional cultures (research, engineering) represent only a small proportion of the total staff and are not central to the primary output. But faculty make up a large proportion of most college staffs and determine to a large extent the nature and quality of the primary output—education. The two-culture issue in colleges and universities is therefore a critical one.

Within the context of this two-culture organization then, the college or university administrator must assume primary responsibility for the definition and implementation of an organizing procedure. Specifically he must orchestrate the work of the various campus groups to minimize overlap and jurisdictional conflicts. Whether he is assembling information on two courses that seem to offer the same content or encouraging the admissions and registrar offices to define their separate and joint responsibilities, the college administrator works constantly to prevent wasteful and demoralizing conflicts in territory and interests.

The administrator must also assist in the organization or reorganization of units and groups within the institution to ensure that they are neither too small and inefficient nor too large and unmanageable. With the changing enrollment and funding patterns of the late 1970s and early 1980s, reorganization of the academic structure is and will be a major task for many key administrators.

Another imperative in defining organizing procedures is the identification and training of needed personnel. In many instances, the college administrator can use faculty resources on campus to define organizational structures that are uniquely suited to the institution. The administrator must also identify skills needed by the campus staff and design training programs to develop these skills. (See Chapter 7.)

Finally, the college administrator must establish clear lines of accountability and provide sufficient authority for staff members to carry out their assigned tasks. He must develop guidelines that explicitly define the quality of performance expected and the means by which performance can be appraised and rewarded. (See Chapter 6.)

The issue of the academic and nonacademic cultures on campus permeates the three basic components of the institution with which the administrator must work: the board of trustees, the administrative structures and procedures, and the committee structure. Ideally the board of trustees embraces both the academic and nonacademic cultures. But in fact the trustees often focus attention on the nonacademic—finances, admissions, and personnel. So, too, does the administrative structure of a college or university represent the nonacademic culture. Although an organization chart or personnel manual usually includes the faculty and academic departments, it rarely describes their actual informal operations. It is only through committee work or through private and informal means that significant "administration" occurs in the academic culture.

Before the administrator can begin to organize he must understand the three components of the institution.

THE BOARD OF TRUSTEES

Authority and Responsibilities

All incorporated colleges and universities operate under the laws of the state in which they are located, and legal status is vested in a board of directors or trustees. Trustees are individuals who hold in trust the institution's assets and resources. Indeed, they can be and often are held legally accountable. While colleges or universities may be incorporated as nonprofit corporations, their constituted authority and liability do not differ significantly from those of the profit-making corporation.

Since most state laws do not specify trustees' duties, it is usually a college's articles of incorporation, constitution, and bylaws that define them. Authority comes to trustees through charters granted by the state. Trustees, in turn, may pass authority on to the president, either overtly or through abdication.

The amount of trustee involvement in campus affairs varies from institution to institution. It may be perfunctory (rubber-stamping administration initiatives) or total, with one or more trustees actively involved in day-to-day operations. Neither extreme is particularly helpful to a collegiate institution.

Trustees have the authority to do whatever is necessary to carry out the mission of the college. Theoretically the only limits to their authority are federal, state, and local law, and the provisions of the institution's charter, constitution, and bylaws. Ideally they are guardians ("trustees") of the institution's resources, with a fiduciary responsibility to faculty, students, and the public. They determine policy, select and retain competent administration, give interpretation and direction to policy and goals, monitor the progress toward agreed-upon objectives, and provide consultative and financial help.

Although a board's primary concern should be institutional policy, its functions are numerous and its policy decisions ultimately affect everything from food served in the dining hall to the very survival of the institution. The board exerts its authority through eight basic functions:

(1) *Delegation of accountability and authority.* Because trustees do not live on campus and cannot participate in day-to-day administration, they must determine through policy and resolutions how they will delegate authority for both routine and special tasks. They must decide who signs checks; who selects, promotes, or fires personnel; who develops curriculum; and who determines when to repair old buildings and when and where to build new ones.

(2) *Goals and objectives.* Among the most important functions of trustees is goal clarification. This includes developing overall goals and objectives for the college or university, establishing short- and long-range plans, and initiating major policies that coordinate goals with tasks and provide direction and unity of purpose. While many people are involved in these processes and much of the work may be done by any combination of faculty, staff, alumni, and community representatives, it is ultimately the trustees who must adopt goals and ensure their accomplishment. On the other hand, goals must not be merely pronouncements of the trustees. They must be clearly communicated to and agreed upon by everyone working in the organization. And of course this process—the formation and review of goals, objectives, and policies—should be continuous in the long-established college or university as well as the new venture.

"Trustees have the authority to do whatever is necessary to carry out the mission of the college."

(3) *Election of administrators.* The most obvious and some would say the most important of the trustees' functions is the selection, retention, or release of the president. It has even been suggested that the first item of any trustee meeting should be to consider the question "Should the chief administrator be retained?" While this may be an exaggeration, almost everyone would agree that the selection of the president is every bit as important as determining goals and making major policy decisions. In fact, election of leadership *is* a policy decision. When the board selects a president with the understanding that he will make major changes—or that he won't—this is a policy decision.

Unless prohibited by the charter and bylaws, it is the trustees' prerogative to select all administrators of the college or university. However, both logic and good personnel policy suggest that the trustees select only the president and delegate to him the selection of other administrators who will be his subordinates. The trustees can then protect their prerogative by reserving the right to approve senior administrative appointments.

"If accountability exceeds authority, subordinates soon feel frustrated and impotent."

(4) *Financial control.* While most colleges are nonprofit institutions, trustees know that adequate financial resources make the difference between excellence and mediocrity or even closure. They know that income, whether from gifts, endowment, or tuition, must be equal to or in excess of expenses and that tight budget control is a key factor. Unlike vested interest groups the trustees are in a position to see the overall institutional picture and to take the long view. They are (and can be so held) accountable not only for the immediate financial condition of the institution but also for its perpetuation. It is not surprising, therefore, that trustees often display what may seem to be a disproportionate amount of interest in financial matters.

(5) *Maintenance of charter.* Along with staff, trustees are responsible for maintaining all legal documents. Colleges and universities are as dynamic as the culture in which they exist. It is likely, therefore, that the corporate charter, constitution, bylaws, and policies of an institution will eventually become outdated. Keeping these documents current and in compliance with law and regulation is vitally important in a time when increasing numbers of people are turning to legal and quasi-legal means to redress their grievances.

The Association of Governing Boards of Universities and Colleges suggests that an institution's bylaws should contain provisions for the following: power of the trustees; membership on the board of trustees; emeritus trustees; powers and duties of the administrators of the institution; powers and duties of the chairman and the vice-chairman of the board; powers and duties of the president, vice-presidents, secretary, and treasurer; meetings; action without formal meetings; committees; indemnification; conflicts of interest; discrimination prohibition; and review and amendment of bylaws. (See *Document 3-1.*)^4

(6) *Monitoring progress.* As guardians of the institution, trustees are responsible for monitoring the progress that the president, administration, faculty, and staff are making toward accomplishing predetermined goals. This wide-ranging responsibility includes, but is not limited to, financial oversight, academic excellence, quality of entering students and competence of graduates, public image, and care and maintenance of the physical plant. This monitoring by trustees does not indicate a lack of confidence in the administration and should not be perceived as such. Rather, it is the natural role of trustees working in concert with the administration.

(7) *Relationships with outside publics.* Some if not all trustees may be elected by various constituent groups. This depends on the type of institutional control (i.e., church related or controlled, independent, proprietary, or public). These trustees have an obligation to represent and protect their constituent group. But whether they are elected by a representative group or by a self-perpetuating board, all trustees have an obligation to maintain close relationships with supporting constituents.[5] Responsiveness to constituents is essential to assure a continuous flow of students and financial contributions. Moreover, trustees who are in touch with various publics can be of immeasurable help to administration and faculty.

(8) *Asking questions.* Most trustees make only periodic visits to campus. Thus they are dependent on information provided by the administration, campus contacts, and their own general observations. A trustee's single most effective tool is his ability to ask probing questions that cut to the heart of a matter. It is this that makes the difference between a trustee who occupies a chair and one who makes a significant contribution. At first, administrators may react defensively to this kind of interest. But if the trustee is truly attempting to understand and not simply pushing a pet idea, the administration should value him for his contribution to better planning, policy development, and decision making. Every administrator should make it part of his job to help trustees ask discerning questions.

Board Composition

College and university boards range in size from a few members to almost a hundred.[6] Some meet biweekly, others monthly, quarterly, semiannually, or annually. Members may be selected by the board itself (self-perpetuation) or by outside constituents; they may include faculty, students, and even the president; they may meet in open meetings or in closed sessions at various locations around the country in order to minimize outside interference. Almost any variety of board can be found somewhere.

The average board consists of about twenty-two members from a variety of backgrounds who may or may not represent constituents of the college (geographic, social, or religious groups). The board itself may elect at-large members, but bylaws frequently limit a trustee to two or three consecutive terms. This limitation is intended to provide a constant flow of fresh leadership, but it has the disadvantage of requiring even an outstanding trustee to step down after a specified number of terms. Usually he is ineligible for a new appointment on the board for a year. Some boards circumvent the term limitation by creating honorary trustees or emeritus trustees with full or limited privileges. Boards with a tradition of strong leadership usually do not limit consecutive terms. Instead they have a committee to evaluate individual trustees and recommend reelection or retirement. While it takes courage to "fire" a member of the board, removing those who are ineffective can mean the difference between mediocrity and excellence. (See *Document 3-2* for a rating form of trustee composition and effectiveness.)

Board Operations

In very large institutions, trustees may have their own staffs. In most colleges and universities, however, the president and campus staff do the necessary work. The president's office sends announcements and reminders of meetings of the board, the executive committee, and standing or special committees.

The chairman of the board and the president normally work together to develop the meeting agenda. The president or his staff make all arrangements for meetings and prepare written material that includes minutes of the preceding meeting, reports on progress for all divisions, gift income, budget experience and forecasts, audits, enrollment levels and projections, and any other information that may be pertinent to the work of the trustees. These reports are usually sent to trustees by the weekend before the week of any meeting. (See *Document 3-3.*)

Many colleges have found that trustees can be most effective through committees that parallel either the standing committee structure of the campus or the administrative structure. Typical campus standing committees are finance, buildings and grounds, curriculum, salary and personnel, fund raising, and student life. On the other hand, committees that reflect the administrative structure usually include student affairs, business affairs, and development and public relations. When both faculty and trustee committees reflect this administrative structure, cooperation between the three constituencies (the board, the administration, and the faculty) is facilitated, and they can more easily share their knowledge and experience. Efficiencies in reporting also result, and jurisdictional misunderstandings and overlap are reduced.

Most boards vest their executive committee with substantial if not full authority to act on their behalf between meetings. Sometimes the executive committee consists of the chairman, vice-chairman, secretary, and treasurer of the board. More frequently it also includes the chairmen of the standing committees of the board. When boards are large (forty or more), most of the business of the college is conducted by the executive committee. But no matter how big the board is, the executive committee screens the business that comes before the full board. The executive committee reports on its activities and presents any actions taken for board approval or ratification.

After trustee meetings it is the responsibility of the administration to carry out the board's actions and follow up on any of its requests. Many presidents issue a regular newsletter to inform trustees of follow-up actions, problems, successes, and other relevant news.

Just as constituent groups need to be educated to the mission of the college and the contributions they can make, so too must trustees be educated. A wise president will develop numerous activities to give individual trustees a greater appreciation for and understanding of the college, its work, its people, and its aspirations. Newly elected trustees need special on-campus orientation on programs, personnel, procedures, accomplishments, and problems of the institution. Special projects that bring new and old trustees together will be helpful, and so will rotating new trustees through standing committees for the first year or two. Some presidents attempt to visit each trustee at his home or office once a year, and inviting trustees to dinner at the president's home is a traditional way of keeping trustee-administration channels open.

THE ADMINISTRATIVE STRUCTURE

Departmentalization

Unlike industry, which is usually organized according to one or a combination of several factors (function, territory, customer, process, equipment, time, and product), higher education is most commonly departmentalized by function, such as academic affairs, development and public affairs, business affairs, and student affairs. Any complex organization like a college or university, however, need to be departmentalized by more than one category. Figure 3-1 illustrates the departmentalization by function, territory (off-campus and extension programs), customer (general studies, technical studies), and equipment (library or printed material, and media or instructional media and nonprint material.)

Functional departmentalization is perhaps the most common because it emphasizes activities that can be defined, delegated, and controlled—teaching, library services, accounting, residence hall programs, counseling, food service, and maintenance.

While function is and probably will remain the most popular method of organizing tasks, it has at least one notable disadvantage. It tends to encourage a myopic view, with members of a department exaggerating the importance of their area in relation to the rest of the organization.

Span of Control

Neither the establishment of departments nor the employment of administrators should be an end in itself. For one thing, both are very expensive. The annual cost may be $50,000 or more for each major administrative position and necessary support services such as a secretary, telephone, supplies, and travel. This is a basic dilemma of administration. The money it costs to add a staff in order to get things done through others must be balanced against the cost when goals are not achieved because of inadequate staff.

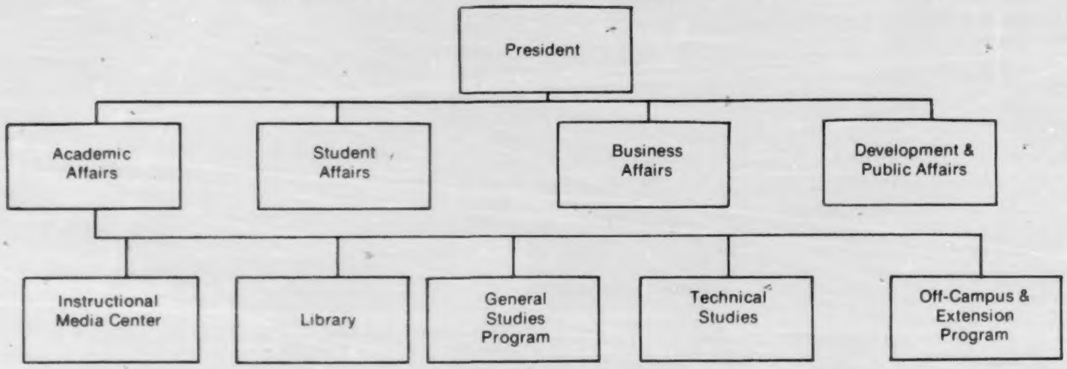
One person can supervise only a few people. When the number to be supervised increases, delegation becomes necessary. For example, after Moses led the Israelites out of Egypt, he found himself in an impossible dilemma. Too many sought his counsel, and there were too many tasks to be done. Finally his father-in-law advised him:

> . . . thou shalt provide out of all the people able men, . . . and place such over them, to be rulers of thousands, and rulers of hundreds, rulers of fifties, and rulers of tens. And let them judge the people at all seasons; and it shall be that every great matter they shall bring unto thee, but every small matter they shall judge; so shall it be easier for thyself, and they shall bear the burden with thee.[7]

There is considerable disagreement on the ideal number for the span of control (also referred to as the span of management or the span of responsibility). Middle- and top-level administrators seem to be able

FIGURE 3-1

Departmentalization Using Various Types of Categorization



to handle three to nine subordinates who report directly to them, while lowest-level administrators can work with twelve or more.[8]

Although there is no magic formula, several variables influence the span of control: diversity and predictability of the activities to be administered, amount and importance of the administrator's other work, competence of the people being supervised, competence of the administrator himself, framework of plans and controls, and degree of interdependence among units.[9]

Disagreement also continues on whether the span of control should be wide or narrow. The narrow span is the classical view. It requires more levels in the administrative hierarchy because each administrator supervises only a few subordinates. Narrow span increases the potential for control but may also create communication problems. Conversely, a wide span of control reduces the numbers in the hierarchy and so reduces the overhead but limits the ability to monitor and control. Depending on the span of management, therefore, the organization in its extremes may be wide and flat or very narrow and tall.

The effect that a wide span has on communication and interrelationships is undeniable. V. A. Graicunas has shown that the number of relationships increases exponentially with each subordinate added to a supervisor's span. In his calculations Graicunas considered both direct and indirect relationships between supervisor and subordinate and cross-relationships between subordinates.[10] Figure 3-2 hows the effect of adding subordinates.

Graicunas' estimates of exponential increase may in fact be conservative, for not only does the number of two-person relationships increase with the number of subordinates, but so does the number of group relationships. The ability of a college administrator to keep abreast of all these relationships and patterns of communication when he is expanding his range of control is often severely strained.

FIGURE 3-2

Possible Interrelationships as Subordinates Are Added*

Number of Subordinates	Total of Possible Interrelationships
1	1
2	6
3	18
4	44
5	100
6	222
7	490
8	1080

Organizational Charts and Manuals

Many people believe that organizational charts can provide a basis for understanding line/staff responsibility, authority, and communication relationships. On the other hand, opponents point out that the chart for a given point in time—like a carefully posed photograph—shows only the formal structure, while it is the informal channels of communication that are more important. Thus charts can be misleading and not much more useful than public relations documents.

Organizational charts may have limitations, but they do help faculty, staff, and even students understand who is supposed to be responsible for what, and where they get their authority. Charts are guides to the organizational make-up. Most staff and faculty (to a lesser degree) want to know where they stand in the organization, and the chart tells them. The organizational chart, used in conjunction with well-written job descriptions, job specifications, and standards of performance, is indispensable to a senior administrator who is assigning duties and authority, assessing performance, and facilitating coordination.

It is the president's responsibility to authorize, review, and approve the organizational chart. The form of the chart depends on its purpose and whether it is to be included with other organizational and administrative documents, put in an administrative manual, or used alone.

Charting can be done by title, function, name, location, or all four. It can be done vertically, horizontally, or in a circle. Line authority relationships can be shown with heavy lines, staff relationships with dotted lines, and coordinating and indirect relationships with diagonal lines, either solid or dotted. The form and extent of the charting are limited only by the creativity of the person doing it. The chart in Figure 3-3 includes function, title, name (fictional), line, and staff relationships. (For a circular chart and other examples, see *Document 3-4*.)

Organizational manuals also take many forms—they may be typeset on slick paper and bound, or reproduced with a spirit duplicator and kept in a loose-leaf notebook; they may be voluminous documents or brief outlines of the most pertinent and frequently used policies. They may be called faculty-staff handbooks, administrative-faculty handbooks, administrative manuals, or operating handbooks.

Since the advent of federal regulations stemming from the Equal Employment Opportunity Commission and affirmative action requirements, Title IX, higher education amendments, and other federal and state legislation, it is an institutional imperative to collect, codify, assemble, publish, and distribute in some form all the policies and regulations under which the institution operates. Although such a manual takes time to produce and costs money, it is an essential tool. The chief administrative officer is responsible for authorizing, approving, and releasing it, and the contents should include a codified collection of documents that describe the college: its mission and goals; the legal authorization under which it

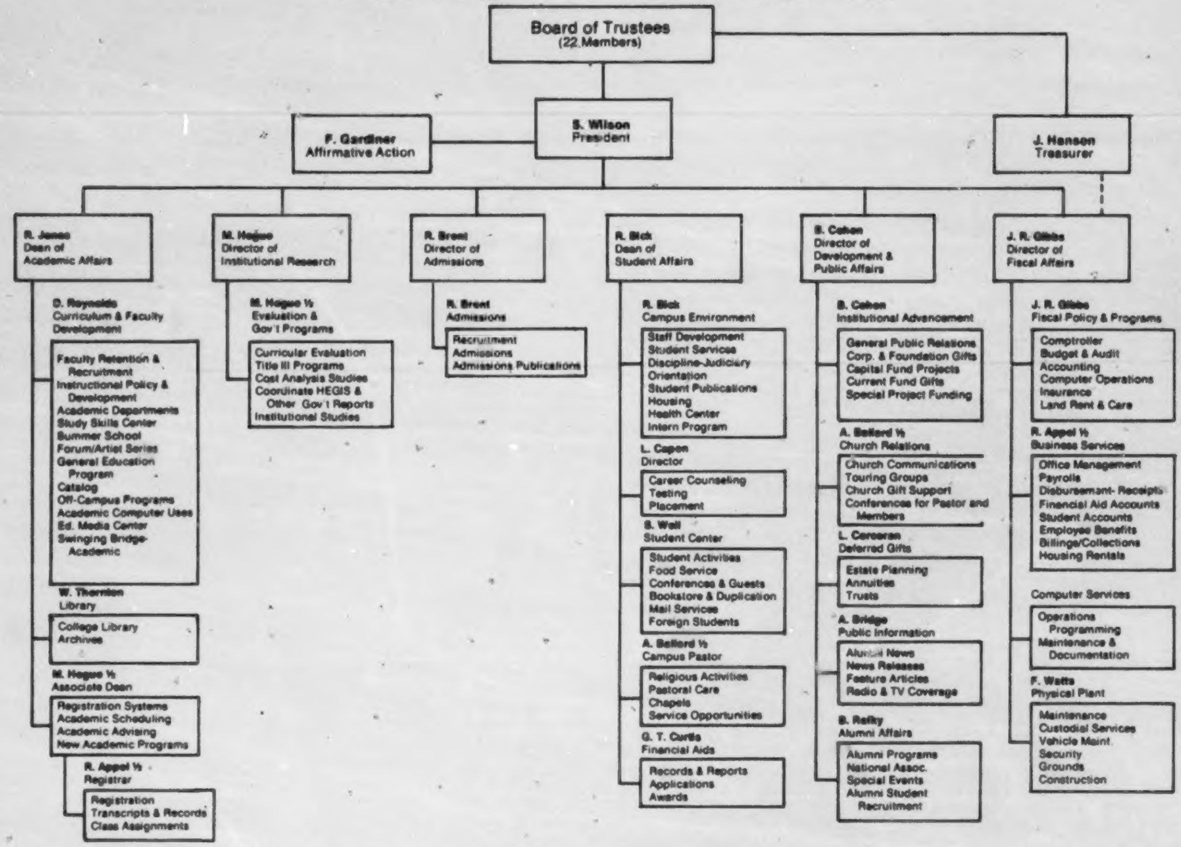
---

*From V. A. Graicunas, "Relationship in Organization," in *Papers on the Science of Administration*, ed. Luther Gulick and L. Urwick (New York: Institute of Public Administration, 1937), p. 186.

FIGURE 3-3

Organizational Chart

Exemplar College Administrative Organization


Board of Trustees
(22 Members)
S. Wilson
President
F. Gardiner
Affirmative Action
J. Hanson
Treasurer
R. Jones
Dean of
Academic Affairs
D. Reynolds
Curriculum & Faculty
Development
Faculty Retention &
Recruitment
Instructional Policy &
Development
Academic Departments
Study Skills Center
Summer School
Forum/Artist Series
General Education
Program
Catalog
Off-Campus Programs
Academic Computer Uses
Ed. Media Center
Swinging Bridge-
Academic
W. Thornton
Library
College Library
Archives
M. Hogue ½
Associate Dean
Registration Systems
Academic Scheduling
Academic Advising
New Academic Programs
R. Appel ½
Registrar
Registration
Transcripts & Records
Class Assignments
M. Hogue
Director of
Institutional Research
M. Hogue ½
Evaluation &
Gov't Programs
Curricular Evaluation
Title III Programs
Cost Analysis Studies
Coordinate HEGIS &
Other Gov't Reports
Institutional Studies
R. Brent
Director of
Admissions
R. Brent
Admissions
Recruitment
Admissions
Admissions Publications
R. Bick
Dean of
Student Affairs
R. Bick
Campus Environment
Staff Development
Student Services
Discipline-Judiciary
Orientation
Student Publications
Housing
Health Center
Intern Program
L. Capen
Director
Career Counseling
Testing
Placement
S. Wall
Student Center
Student Activities
Food Service
Conferences & Guests
Bookstore & Duplication
Mail Services
Foreign Students
A. Ballard ½
Campus Pastor
Religious Activities
Pastoral Care
Chapels
Service Opportunities
G. T. Curtis
Financial Aids
Records & Reports
Applications
Awards
B. Cohen
Director of
Development &
Public Affairs
B. Cohen
Institutional Advancement
General Public Relations
Corp. & Foundation Gifts
Capital Fund Projects
Current Fund Gifts
Special Project Funding
A. Ballard ½
Church Relations
Church Communications
Touring Groups
Church Gift Support
Conferences for Pastor and
Members
L. Corcoran
Deferred Gifts
Estate Planning
Annuities
Trusts
A. Bridge
Public Information
Alumni News
News Releases
Feature Articles
Radio & TV Coverage
B. Refky
Alumni Affairs
Alumni Programs
National Assoc.
Special Events
Alumni Student
Recruitment
J. R. Gibbs
Director of
Fiscal Affairs
J. R. Gibbs
Fiscal Policy & Programs
Comptroller
Budget & Audit
Accounting
Computer Operations
Insurance
Land Rent & Care
R. Appel ½
Business Services
Office Management
Payrolls
Disbursement- Receipts
Financial Aid Accounts
Student Accounts
Employee Benefits
Billings/Collections
Housing Rentals
Computer Services
Operations
Programming
Maintenance &
Documentation
F. Watts
Physical Plant
Maintenance
Custodial Services
Vehicle Maint.
Security
Grounds
Construction

operates, including constitution and bylaws; board of trustees; organizational chart; job descriptions of all administrative positions; community expectations; faculty and staff personnel policies on employment, promotion, tenure, discharge, and retirement; internal institutional policies, including grievance procedures, equal employment opportunity, affirmative action, and Title IX policies; and other policies that affect faculty, administration, staff, and students. (See *Document 3-5* for tables of contents from sample organizational manuals.) Some colleges minimize the time and cost of the manual by producing it in a loose-leaf binder. Every summer the manuals are collected and obsolete pages are replaced with updated ones. This is a considerable saving over the cost of reprinting the entire manual every year or two.

A variation of the organizational manual has been developed by Harold Hook of Main Event Management Corporation.[11] They advocate the use of a desk manual by every member of the administrative staff. This manual is a loose-leaf compendium of documents describing the job, both now and in the past. The present jobholder constantly updates the manual. This updating task is assigned a high priority and is supervised by his superior. In this way, the experience of the previous jobholder is passed on to his successor. Hook has observed that a desk manual can substantially reduce the orientation period necessary for new employees.

COMMITTEES

The academic culture in a college or university is unique in our society. There are few other work-oriented institutions in which significant institutional decisions are made by committees. While some organizations have experimented with worker control during the last fifty years, for the most part these attempts have been sporadic and not too successful. Nevertheless they were generally hailed as a major social innovation. It is ironic that American colleges and universities have been doing it for years, with imagination and considerable success.

Although the committee system is not without critics, new committees are forever being formed and existing ones are growing. A committee that is wisely selected and judiciously used can be a major asset to any academic organization. There is nothing more effective than bringing individuals together to address a common problem and to seek a suitable resolution with broad-based support. On the other hand, many faculties have had to make rules that limit the number of committees on which they will serve in order to protect their time from too many meetings.

Generally there are two types of committees. The *ad hoc committee* is formed to consider a particular problem or situation and make recommendations. When it has accomplished its purpose, it disbands. The *standing committee*, on the other hand, is quasi-permanent. It deals with recurring problems and facilitates coordination of various functions. The work of both kinds of committee usually includes investigation, discussion, analysis, and debate. The committee's function may be advisory or it may have the power to implement its own recommendations. In the latter case it has line authority, is called *plural executive*, and is administrative in nature. Executive-level committees often have line authority.

Advantages and Disadvantages

Committees have several advantages. First, they provide a forum for individuals with a wide range of experiences, backgrounds, and abilities. Second, committees can motivate people to action by involving them directly in the decision to take the action.[12] Third, committees can enhance cooperation because deliberations about a problem often increase understanding and encourage consensus. Finally, the committee process of analysis, discussion, presentation of solutions, and articulation of alternative views provides excellent administrative training for faculty and staff as well as giving senior administrative personnel a chance to assess leadership abilities and styles in others.

Committees are not without several disadvantages, however. They take time, and time spent in meetings is not spent elsewhere. Parkinson noted that there is constant pressure to expand the number of people on a committee if for no other reason than to include more individuals with specialized knowledge.[13] As a result many committees are too large and their pace is uneven and their quality of work inconsistent. Some members feel compelled to speak at length on everything while others contribute nothing but their presence. Parkinson's "law of triviality"[14]—"the time spent on any item of the agenda will be in inverse proportion to the sum involved"—is demonstrated again and again in committee work. For example, while a college was able to select the site and design for a new science building with only minimal committee involvement, at the same college it took three committees five months to make recommendations for a $15,000 greenhouse, and even then the board rejected the recommendations; and the committee process started all over again.

The second weakness of committees is that their decisions are often made in desperation rather than in confident consensus. Especially if a committee has on it contentious individuals who insist on taking a narrow view or grinding their own axes, real consensus may seem impossible. When haggling appears interminable, a chairman often will settle for less than the best decision if it will satisfy everyone minimally. Unfortunately such a decision usually arouses little or no enthusiasm even in the committee members, so it can hardly be expected to stir the hearts and minds of the college community at large. Such half-hearted commitment to committee-arrived-at decisions is not adequate.[15] In fact, it can damage the long-term vitality of the college or university if it becomes a pattern and is tolerated as the norm.

Third, though committees may be very helpful in jurisdictional disputes, an American Management Association study found that they are ineffective in organizing, executing, leading, and decision making.[16] A committee can help clarify mission and goals and define areas of responsibility, but it is not an effective forum for implementing plans to carry out goals.

One of the most serious disadvantages of committees is the dilution of accountability. When a committee makes a decision, a group rather than an individual becomes accountable. It is everybody's responsibility and, ultimately, nobody's. It is virtually impossible to hold a group accountable or to penalize a committee for inadequate performance or irresponsible action.

Committees sometimes represent *pooled authority*. This is useful at times when an administrator lacks the authority to coordinate overlapping assignments. Committees with or without pooled authority, however, frequently make decisions and take actions without the restraining "hooks" of accountability. Such was the case in a college where the financial aid committee set policy and determined awards over the objections of the financial aid officer. When funds were inadequate to cover the awards, the financial aid officer was held accountable and he lost his job.

Effectiveness of Committees

Effective committees don't just happen. There are ways to make them happen. Before the committee is formed, the committee's charge should be defined: its function, scope of activity, amount of authority (decision making or advisory), its expiration date, and its place within the organizational structure.

The size of a committee is important. It should be large enough to provide a range of opinion, yet small enough to encourage participation by all members. Experts on small groups suggest three to eight members as ideal. A committee constituted to provide problem analysis or creative problem solving should be small. A committee conducting routine review of applications, proposals, and short-term policies should also be small, with a larger advisory body providing periodic consultation and review. A committee formed for coordination, goal clarification, or data collection might need to be large and in some cases quite large. If most committees are small, having a few large committees will be more effective. Large committees when used sparingly take on special importance and generally absorb the attention of all participants. When there are many large committees, however, participants are inclined to invest little energy in any of them.

The selection of committee members is of crucial importance, for a committee is only as good as its members. Furthermore, it is essential that the members are able to work together—five brilliant individuals who can't agree on anything will not form an effective committee. A committee's success will be determined by the careful selection of individuals who are compatible and complementary. A common method of selection is to allow constituent groups to appoint their own representatives. But whenever possible, members of a committee should be selected for their potential contribution and should not be chosen through popularity contests or political elections.

"Within the context of this two-culture organization, then, the college or university administrator must assume primary responsibility for the definition and implementation of an organizing procedure."

Some colleges and universities have recognized the value of a committee on committees. This committee reviews applicants for committee assignments or recruits people to serve on specific committees. To do this effectively, members of the committee must be well informed about the responsibilities of each committee and the issues addressed. The committee on committees follows up on previous committee selections to learn from successes and failures and to obtain information about committee participants for future selection purposes. It periodically reviews the purposes, workloads, and reporting relationships of each committee in order to determine whether it should continue to exist as is, be modified in some way (given new or increased responsibilities), or be eliminated altogether. "Zero-based" committee review (justifying each and every committee from scratch) should take place every two to three years.

Only in a very small college can these essential operations be adequately performed by a central executive committee (such as faculty senate or academic administrative council) that also formulates general policy and reviews committee recommendations. Nevertheless, many colleges and universities still assign committee overview and membership selection to an overworked executive body and suffer the consequences of inappropriate committee assignment.

In the selection of a committee chairman, several different procedures can be followed. The chairman can be selected by an executive committee, a committee on committees, or an appropriate administrator. This approach is suitable for short-term ad hoc committees. A longer-term standing committee frequently elects its own chairman. For a new committee a *convenor* may be appointed to open the first meeting, review the committee charge, and conduct the election of the chairman.

A committee might identify several other leadership roles, such as an *action-recorder* or "gatekeeper," to keep track of specific actions taken by the group, its timetable, and assignment of responsibilities within the group. A committee often arrives at decisions that are not clear or that have no clear consequences or follow-through. In many cases, not all members of the committee are aware that a decision has been made. Unless Robert's *Rules of Order* is strictly followed—a deadly alternative—decisions should be clearly and publicly identified by one person. The committee chairman is too busy conducting the meeting, making sure that everyone is heard, that all agenda items are covered, that discussion stays on the topic. By appointing an action-recorder a committee ensures that none of its vital functions are lost or given secondary priority.

A *process observer* or *consultant* can also improve committee functioning. He is given responsibility for assessing the emotional and interpersonal climate of the group, ensuring that they can work together effectively and amicably and that legitimate needs of committee members for recognition, approval, and friendship are being met by the group. This role is often rotated within the group or is assumed by the action-recorder. Alternatively a committee might wish to engage in an occasional "team-building" exercise that focuses on the emotional climate of the group and its effects on the committee's responsibilities. A team-building session is not "sensitivity training" or group therapy; rather, it is a task-oriented means of improving committee functions. (See *Document 5-2* for team-building tools.)

"Unlike vested interest groups the trustees are in a position to see the overall institutional picture and to take the long view."

Effective committee work requires pre-meeting preparation and post-meeting follow-up. The chairman or staff person should prepare and circulate an agenda well in advance of the meeting so that all members have an opportunity to read reports, data, proposals, and arguments. The chairman determines procedures to be followed at the meeting. He attempts to see that everyone has a chance to contribute and that one group or person doesn't dominate. He summarizes discussions fairly and tries to integrate ideas so that they will elicit solutions, motions, and recommendations. At the conclusion of the meeting, either the chairman or the action-recorder makes certain that each person knows what his assignment is, when it is to be completed, and the time and place of the next meeting.

If the committee has plural executive capacity (the authority to act), the chairman should appoint an individual to report and implement the committee's actions. If the committee is advisory only, then the chairman must determine who prepares and reports on the recommendation. After the meeting, the chairman must check periodically to see that assignments are being carried out, that deadlines are being met, and that coordination of members' tasks is provided if necessary.

AUTHORITY AND ACCOUNTABILITY

Types of Authority

Discussions of management usually center on two types of authority: *line authority* and *staff authority*. Line authority is direct authority passed down the organization from superior to subordinate. It gives the subordinate the authority to make decisions, give orders, and proceed with implementation. The classic example of top-down chain of command is the military. To a more limited extent, the college or university president has line authority over the deans and vice-presidents; they in turn have line authority over their subordinates, at least in the nonacademic culture. Line authority is frequently called *scalar chain* (Figure 3-4) and ideally defines a clear line of authority from the top to the bottom of an organization.

Staff authority, on the other hand, rarely includes the right to give orders or implement decisions. Individuals assigned staff authority give general assistance to line administrative personnel. They provide services, control, counsel, ideas, schedules, and liaison. They collect and analyze data and prepare reports.

Conflicts between line and staff personnel are not unusual. Richard Hodgetts outlines what might be considered classical conflicts.

Being aware of line-staff conflicts does not eliminate them. However, problems will be minimized if the administrator clearly develops precise job descriptions, keeps both line and staff apprised of each other's work, defines authority, has a "completed staff work" policy (see Figure 3-5) and encourages each side to share ideas with and listen to the other.

Authority and Power

We can't discuss authority without defining how it differs from power. Authority is derived from the formal organizational structure; it passes from superior to subordinate. This *formal authority* is illustrated by positions on the organizational chart. Though all do not agree, many people feel that formal authority has no power—except coercive power—unless the subordinate accepts the preeminence of the authority. In essence, formal authority is conferred from above, but power (acceptance of authority) is granted from below, from the individual or group. In society as a whole and especially in higher education, the use of power is publicly deplored; however, various forms of authority and power are being plied daily in a college both by the formal and informal structure.

Brinckloe and Coughlin outline five forms of power.[17] *Coercive power* depends on the threat of punishment. While it may elicit some initial compliance, it is particularly ineffective in higher education. *Reward power*, by contrast, draws on the ability to dispense tangible and intangible benefits to the employee who performs according to the superior's wishes. These benefits include praise, delegation of desired responsibilities, recognition, salary increases, promotion, tenure, sabbaticals, research assignments, increased travel budgets, and reduced teaching loads. *Expert power* emanates from the display of superior knowledge or ability. People are willing to listen and follow because they are convinced that the expert knows what he is doing and will produce results. *Referent power* occurs when the subordinate identifies with the person in authority and tries to emulate him. This often happens in a student- or subordinate-mentor relationship. *Legitimate power* has three sources: legal power, traditional power, and charismatic power.

Harold Hook suggests a slightly different approach to the study of power.[18] He identifies two types: personal and institutional. *Personal power* consists of expert power, authority power (recognition and acceptance of legitimate or assigned authority), reward power, coercive power, and charismatic power (others follow a leader because they identify with him and believe he will provide what they desire). *Institutional power* has two primary sources: systems power (the leader operates within a well-established system and tradition that is acceptable to most) and goal power (others believe the leader's actions and directions will achieve the goals). Hook and others believe that it is best for everyone in the organization if the institutional rather than the personal sources of power are maximized.[19] In addition to institutional authority derived from delegation and organizational structure, an administrator who is effective and respected also usually receives expert and charismatic (referent) power automatically. The wise administrator knows how to use authority power and reward power but rarely if ever uses coercive power.

Delegation

No matter how much goes into planning or organizing, it is by the act of delegation that the admin-

FIGURE 3-4

Scalar Chain of Authority

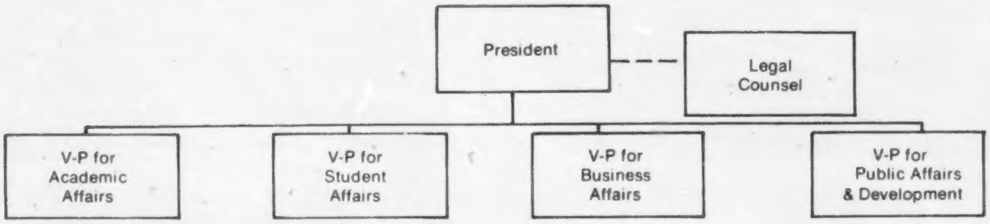


FIGURE 3-5

Line-Staff Conflicts*

Line	*Staff*
1) Highly action-oriented.	1) Concerned with studying a problem in depth before making recommendations.
2) Highly intuitive in contrast to being analytical.	2) Highly analytical in contrast to being intuitive.
3) Often shortsighted.	3) Often too long-range-oriented.
4) Often ask the wrong kinds of questions.	4) Have answers and therefore spend their time looking for questions.
5) Want simple, easy-to-use solutions.	5) Complicate the situation by providing esoteric data.
6) Accustomed to examining some of the available alternatives and choosing one of them.	6) Interested in examining all of the possible alternatives, weighing them, analyzing them and then choosing the "best" one regardless of time or cost restraints.
7) Highly protective of the organization.	7) Highly critical of the organization.

istrator gets things done through others. In his Main Event Management program, Harold Hook calls delegation the "engine of management."[20] Rarely can an administrator perform all of the tasks assigned to him; consequently, he must delegate—he must assign authority and responsibility for tasks or duties to others. Although delegation is so common that it is often taken for granted, some management experts feel that administrators fail because of poor delegation more often than for any other reason.[21]

Three inseparable components of delegation have been identified by William H. Newman.[22] The first is assignment of duties by an administrator to immediate subordinates. Granting permission (authority) to make commitments, use resources, and take actions that are necessary to perform these duties is the second. The third is the creation of an obligation (responsibility) on the part of the subordinate to the delegating administrator to perform the duties satisfactorily.

Delegation is both an art and a science. The administrator must realize that his own subjective attitudes toward delegation may make the difference between administrative success and failure. An administrator who successfully delegates must have the ability to let go of some of his "territory." He must be willing to let others make decisions, and he must be open to the ideas of others. He must realize that everyone makes mistakes and must minimize errors by investing time in personnel development through supervision and counsel. He must trust the people to whom he has delegated and be willing to provide training, controls, and oversight while allowing the subordinate enough freedom to carry out the assignment. Although the administrator must realize that neither his authority nor his responsibility can be "delegated away," he must be able to rely on his inspection and feedback systems.

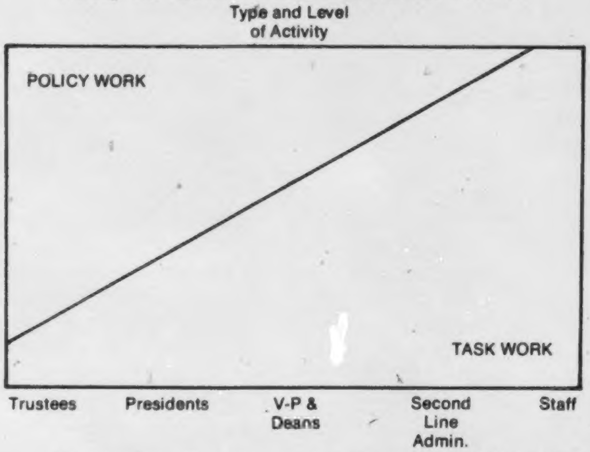
The actual process of delegation can be broken down in different ways. According to Hook, the process begins when the administrator defines the arena of his own responsibility (people, finances, equipment, procedures, materials, and objectives to be accomplished). He then decides what part of the job he must do. (This is sometimes called the "piece of the pie" assessment.) The remaining jobs are identified, and the administrator decides who will do them and how.[23]

Others believe the administrator should first determine the best division of labor with the resources and personal skills available. The administrator then matches the personnel to the tasks to be accomplished and takes those that remain himself. In this method the supervising administrator—especially if he has just been promoted to a new position—assigns the tasks and activities he used to do to subordinates. This prevents him from spending too much time doing the tasks he knows rather than concentrating on new assignments, policy concerns, and supervision.

Senior administrators are generally assigned policy, problem-solving, coordinating, and supervising activities. Lower-level administrators are, for the most part, assigned task activities. (See Figure 3-6.)

FIGURE 3-6

Policy vs. Task Activities at Different Levels



No matter what system is followed, the definition of *what* is to be delegated is the most crucial act of delegation. The maxim is "You cannot delegate what you cannot define," and its corollary, "Delegation without definition is abdication."[24] If the administrator cannot delegate without defining and if he is unable to define, he usually attempts to perform all the tasks and do all the work himself. This reduces his span of control and prevents the extension of his own effectiveness in getting things done through others. In part, the definition of what is to be delegated involves the assignment of duties. This includes the formulation of answers to some or all of the following questions: What is to be done? Who is to do it? When, where, and how is it to be done?

---

*From *Management: Theory, Process, and Practice* by Richard M. Hodgetts, p. 175. Copyright © 1975 by W. B. Saunders Company. Used with permission.

The second act of delegation involves spelling out authority to subordinates. What this means is that administrators must vest subordinates with enough authority to carry out their assignments successfully. Frustration on the part of subordinates can be reduced or eliminated if the administrator clearly defines in writing the delegation of authority. At the same time he must take care that he doesn't grant so much authority to his subordinates that he loses control over operations for which he is ultimately responsible.

The third, fourth, and fifth acts of delegation are: matching the person to the task to be delegated, providing channels of communication so the administrator can lead and direct, and establishing standards of performance and control mechanisms that provide the administrator the tools to monitor, adjust, solve, or even prevent problems without violating a subordinate's personal psychological space or creating mistrust. We consider these steps in detail in Chapters 4, 5, and 6.

It cannot be overemphasized that the heart of administration is delegation. Weak, partial, or inconsistent delegation, meddling administrators, and untrained subordinates can soon make administration intolerable and goal achievement impossible.

Responsibility for poor delegation lies with top administrators and superiors. Koontz and O'Donnell suggest that the following five guidelines can be helpful in overcoming weak delegation.[25] First, assignments should be defined and authority delegated in the light of results that are expected. Second, a person's abilities, preferences, and other responsibilities should be considered when tasks are being assigned. Although the good organizer approaches delegation primarily from the standpoint of the task to be accomplished, he must never forget that staffing is a crucial part of the system.

Third, open lines of communication must be maintained at all times. While the superior should not interfere in the delegated assignment, the subordinate should not be left to work in isolation. Plans may need to be modified and new decisions made as conditions change. There must be a free flow of information between superior and subordinate.

"A trustee's single most effective tool is his ability to ask probing questions that cut to the heart of a matter. It is this that makes the difference between a trustee who occupies a chair and one who makes a significant contribution."

Fourth, proper controls must be established. Every delegation should include a method of making certain that authority is used properly. Controls should be relatively broad to prevent interference, and they should be designed to show deviations from plans rather than detailed actions of subordinates.

Finally, it is seldom sufficient merely to suggest that authority be delegated or even to order that it be. Administrators should be ever watchful for means of rewarding both effective delegation and effective assumption of authority. Although monetary rewards are always appreciated, the granting of greater discretion and prestige (either in the subordinate's present position or through promotion) is often even more effective an incentive.

Some administrators have found the concept of *completed staff work* helpful as an aid to the delegation process.* This is a management procedure that establishes expectations for subordinates and staff and frees managers from misuse of their time by staff. It thus increases individual and group effectiveness. In completed staff work, staff and subordinates study a particular problem and present a solution in such a way that senior staff or officers need only approve or disapprove it. When completed staff work is done well, it results in a plan so well documented that the administrator only has to sign it to put it into effect.

"Achieving a balance between authority and accountability is not an uncommon problem in industry, but it is an even greater one in higher education."

The word "completed" is crucial to the concept. The more complex the problem, the greater the temptation to present ideas in piecemeal fashion and waste the senior administrator's time. To prevent this, subordinate staff members research the problem thoroughly, work out all the details, and deal with as many potential problems as possible. Sometimes the end product is a rough draft, which will be printed after it is approved or which will be circulated to catch omissions of very recent or previously unreleased information. In no case, however, should the rough draft be an admission of frustration and failure or an attempt to shift responsibility to the senior administrator.

It is the subordinate's job to provide advice and solutions to problems. His role is to think of all the questions that could be asked and provide answers. The subordinate or staff person can measure the completeness of staff work by asking himself, "If I were the boss, would I be willing to endorse the report and risk my professional reputation on what it contains?" And "What would result if it were implemented?"

Completed staff work should result in views, solutions, and proposed actions in documented and completed form so that all that is required is a signature. If the superior needs or wants further explanations or backup material, that too should be available.

Although completed staff work results in more work for staff, it provides greater freedom for the administrator and protects him from ill-conceived ideas, incomplete work, and irrelevant information. Like a well-written proposal, completed staff work serves as a springboard catapulting into action well-thought-out ideas and plans. (See *Document 2-4* for tips on proposal writing.)

---

*Adapted from various U. S. Department of Defense documents and from the American Management Association.

Position Descriptions

Just as the organizational chart shows the formal division of labor and the reporting systems, the position description shows what tasks have been delegated to whom and with what authority. It may be desirable to use organizational charts, position descriptions, job specifications, and standards of performance as interrelated documents. (For a discussion of job specifications and performance standards, see Chapters 4 and 6, respectively.) The flow of delegation begins with division of labor as illustrated by the *organizational chart*. It then proceeds with the drafting of specifications and qualities that a person needs to meet the objectives of the *job specifications*. Next is the assignment of duties, authority, and responsibility as documented in the *position description*. Finally, benchmarks for success must be identified and stated in the *standards of performance* agreement.

The superior and subordinate usually write the position description together. When filling a new position some administrators write an ideal job specification and an ideal position description. After the position is filled the new employee rewrites the ideal position description and submits it to his superior for review. The position description is then modified until it is mutually acceptable. Position descriptions usually include title, name, effective date, assigned tasks, functions, authority, reporting relationships, and benefits. (See *Document 3-8* for sample position descriptions; also see Chapter 4.)

Accountability Without Authority

If accountability exceeds authority, subordinates soon feel frustrated and impotent. They are frequently found lining up outside the supervisor's door to get his approval for each step of their tasks (use of resources, granting of an order, lateral or diagonal communication across the institution, etc.). Subordinates become easily demoralized under these conditions because they know they will be held accountable for events over which they have little or no control.

A common complaint is that administrators are reluctant to delegate decision making to the lowest practical administrative level. Instead they often bifurcate authority and decision making by vesting authority in the faculty or a faculty committee, while holding an administrator accountable. For instance, such faculty personnel decisions as hiring, department expansion, retention, and tenure may be made by a faculty committee, but the trustees and president hold the academic dean responsible for balancing the academic budget and maintaining and improving the quality of the faculty. The very nature of higher education—the relatively autonomous work of faculty, the high level of education, and desires for self-determination of both faculty and administrator—suggests the necessity for shared governance and consensus decision making. Yet this sort of governance makes it difficult to assign accountability. Achieving a balance between authority and accountability is not an uncommon problem in industry, but it is an even greater one in higher education. Trustees, presidents, and all senior administrators need to be constantly aware of this dilemma, even if it is neither understood by the campus community nor kept in balance by the trustees and administration.

NOTES

1 C. P. Snow, *The Two Cultures and the Scientific Revolution* (New York: Cambridge University Press, 1962).

2 Max Weber, *From Max Weber: Essays in Sociology*, ed. and trans. H. H. Gerth and C. Wright Mills (New York: Oxford University Press, 1958), pp. 196-198.

3 Gordon G. Darkenwald, Jr., "Organizational Conflict in Colleges and Universities," *Administrative Science Quarterly* 16 (December 1971): 407-412.

4 "Model Bylaws for Independent Colleges," Association of Governing Boards of Universities and Colleges, One Dupont Circle, Suite 720, Washington, D.C., 1978. See *Document 3-1*.

5 Some observers of trustees believe the quickest way to make a college mediocre is to have elected representatives from various constituencies or vested interest groups. The reader is encouraged to examine Robert K. Greenleaf's book, *Servant Leadership: A Journey into the Nature of Legitimate Power and Greatness* (Paulist Press, New York: 1977) for an in-depth analysis of trusteeship, for suggestions on improving trustee effectiveness, and for a new model of trusteeship.

6 A study of governing board composition recently published by Irene L. Gomberg and Frank J. Atelsek (American Council on Education's Higher Education Panel Reports, No. 35, "Composition of College and University Governing Boards") shows that slightly more than 2,300 boards govern approximately 3,000 institutions of higher education in this country. There are more than 50,000 voting members authorized, with an average of 22 voting members per board. Nearly as many members are actually serving as are authorized, 47,000 or 93 percent. (Many serve on two or more boards.) Three out of ten of the trustees must be selected from designated constituencies; and six percent are alumni. Most trustees (eighty-five percent) are men. Minorities make up seven percent of the boards. Two out of three board members are fifty years old or over, and only ten percent are under forty. About a third are businessmen, one in four is a professional, and one in seven is involved in the field of education.

7 Exodus 18: 21-22.

8 Ralph C. Davis, *The Fundamentals of Top Management* (New York: Harper & Row, 1951). Lyndall F. Urwick, "The Manager's Span of Control," *Harvard Business Review* 34 (May-June 1956): 39-47.

9 David R. Hampton, *Contemporary Management* (New York: McGraw-Hill, 1977), p. 233.

10 V. A. Graicunas, "Relationship in Organization," in *Papers on the Science of Administration*, ed. Luther Gulick and L. Urwick (New York: Institute of Public Administration, 1937), p. 186.

11 Harold S. Hook, Main Event Management Corporation, P.O. Box 215017, Sacramento, California 95817.

12 The case histories presented by Jack Lindquist in *Strategies for Change* (Berkeley, Calif.: Pacific Soundings Press, 1978) graphically demonstrate the value of committee ownership for a program. See also Walter W. Sikes, Lawrence E. Schlesinger, and Charles N. Seashore, *Renewing Higher Education from Within* (San Francisco: Jossey-Bass, 1974).

13 C. Northcote Parkinson, *Parkinson's Law and Other Studies in Administration* (Boston: Houghton Mifflin, 1957), Chapter 3.

14 Parkinson, p. 24.

15 Robert R. Blake and Jane S. Mouton, *Building a Dynamic Corporation Through Grid Organization Development* (Reading, Mass.: Addison-Wesley, 1969) and *The Managerial Grid* (Houston, Tex.: Gulf Publishing Co., 1964). See also Jay Hall, "Decisions, Decisions, Decisions," *Psychology Today* (November 1971): 51-54, 86-87.

16 Ernest Dale, *Planning and Developing the Company Organization Structure*, American Management Association Research Report No. 20 (New York: American Management Association, 1952), p. 92

17 William D. Brinckloe and Mary T. Coughlin, *Managing Organizations* (Encino, Calif.: Glencoe Press, 1977), pp. 115-116.

18 Harold S. Hook, Model 108 ("Power Diamond"), *MODEL-NETICS® Course Book, 1971-72* (Sacramento, Calif.: Main Event Management Corporation).

19 Hook, Model 108.

20 Hook, Model 94 ("Organizing Pie").

21 Harold Koontz and Cyril O'Donnell, *Essentials of Management*, 2d ed. (New York: McGraw-Hill, 1978), p. 241.

22 William H. Newman, *Administrative Action: The Techniques of Organization and Management*, 2d ed. (Englewood Cliffs, N.J.: Prentice-Hall, 1963), pp. 185-186.

23 Hook, Model 94.

24 Hook, Model 33 ("Define to Delegate").

25 Koontz and O'Donnell, pp. 248-249.

Documents
Chapter 3

Document 3-1

Title: Model Bylaws for Independent Colleges*

Source: Association of Governing Boards of Universities and Colleges (AGB), Washington, D.C.

General Description:

Among the most crucial documents determining governance, policies, and procedures is the institution's bylaws. The attached model bylaws were developed for the Association of Governing Boards of Universities and Colleges by the Washington, D.C. law firm of Zuckert, Scoutt and Rasenberger after consultation with attorneys, board members and administrators representing a number of our member institutions. This model is designed especially for independent colleges which have requested assistance in writing or revising their own bylaws. It is *not* designed to be adopted verbatim, but is designed to provide a basis for discussion on the form of governance an institution may wish to establish. Furthermore, although the model is not designed to be used by public colleges or universities because state laws vary widely, several of its provisions could be useful for tax-supported institutions as well.

In using these bylaws several points should be kept in mind:

First, the masculine pronoun has been used throughout strictly for simplicity's sake.

Second, the bylaws of any institution of higher learning provide the basis upon which that institution is governed and should not be viewed merely as a legal formality. Therefore, the adoption or amendment of bylaws demands serious attention to insure that the provisions are clearly written and, more important, appropriate to the particular institution.

Third, state laws governing colleges and universities, along with other charitable or educational corporations, vary. While an attempt has been made in the model to conform to the requirements states generally place upon institutions of higher learning, no attempt has been made to take account of all the particular nuances of every state. Therefore, before the suggestions in the model or any other bylaws are adopted, an attorney should be consulted to insure compliance with local law.

Finally, since a wide variety of options is available to a college or university for determining how its governing board is organized, any model necessarily involves a number of somewhat arbitrary choices. Comments received from attorneys, trustees, and chief executives on drafts of the model underscored the possible divergence of approaches. There was general agreement that bylaws should be kept as simple as possible, to allow for flexibility and to avoid need for frequent amendment. (Need for additional specificity or clarification could be covered in a board "policy manual" or separate board document.)

---

*Reprinted with permission of AGB.

Several provisions of the model stand out as being particularly appropriate for attention:

1) Article II, Section 2.
The model provides that the members of the board of trustees shall all be elected by the incumbent trustees. Some universities and colleges take a different approach and provide for classes of trustees and election by class, e.g., three alumni trustees nominated by the alumni.

2) Article II, Section 6.
The minimum (age 18) or maximum (age 70) age limits placed on trustees may be found inappropriate and may be altered or eliminated.

3) Article IV and VII.
To avoid the sometimes cumbersome distinction between "officers of the board" and "officers of the college," it is suggested that the bylaws refer only to the "officers of the college." These would include the Chairman and Vice Chairman of the Board of Trustees, the President (ex-officio Board member, without power to vote), one or more Vice Presidents, a Secretary (may or may not be a trustee) and a Treasurer (may or may not be a trustee). Some institutions may prefer a bifurcated approach, however.

The model does not specify the number of vice presidents or their particular duties. This approach gives the board flexibility in creating new offices or duties as the need arises without requiring amendment of the bylaws. Some institutions may prefer to specify in the bylaws duties assigned to particular vice presidents, e.g., vice president for academic affairs, vice president for public relations, and development, etc.

4) Article XII.
The bylaws provide for ten standing committees charged with specific duties. Committees may be consolidated or changed for better definition of role, e.g., from the Committee on Membership to the Committee on Nominations.

5) Article XII, Section 6.
The model provides that the Executive Committee shall consist of the chairman, vice chairman and the chairman of each standing committee. A board may wish to elect additional members from "at-large" or include the chairmen of specified committees.

6) Article XIV.
AGB is developing a model policy concerning trustee conflict of interest and financial disclosure for consideration by the Association's Board of Directors in October, 1978. Subsequent to approval, it will be available to the membership. In the meantime, it is good practice to include such a provision in the Bylaws—apart from a more detailed policy statement, adopted by resolution of the board, including the possibility of a formal financial disclosure procedure to be conducted perhaps annually.

7) Article XV, Section 1.
Certain special types of colleges and universities, e.g., single sex or sectarian institutions, may wish to modify this provision. However, legal counsel should be consulted before changes are made.

Additional modifications may be made, of course, in a number of other provisions. The Association of Governing Boards is eager to receive comments on this model. We are particularly interested in the practical operation of bylaws based on the model, including any problems implementing the suggested provisions.

Model Bylaws for Independent Colleges

Table of Contents

Article I — Powers of Trustees 1
Article II — Membership of Board of Trustees 1
Article III — Trustees Emeriti 2
Article IV — Officers of the College 2
Article V — Powers and Duties of the Chairman and Vice Chairman of the Board of Trustees 3
Article VI — Powers and Duties of the President of the College 3
Article VII — Powers and Duties of the Vice President(s) 3
Article VIII — Powers and Duties of the Secretary 3
Article IX — Powers and Duties of the Treasurer 3
Article X — Meetings 4
Article XI — Action Without Formal Meeting 4
Article XII — Committees 5
Article XIII — Indemnification 7
Article XIV — Conflicts of Interest 7
Article XV — Discrimination Prohibited 8
Article XVI — Review and Amendment of Bylaws 8

[Name of College]

BYLAWS

Adopted by Board of Trustees

[Insert date of adoption and
most recent amendment date]

ARTICLE I
Powers of Trustees

The Board of Trustees shall have the power to manage the property and business of the corporation (referred to in this and the following articles as "College"), and shall have the power to carry out any other functions which are permitted by the articles of incorporation, or these bylaws, except insofar as such powers may be limited by law. These powers shall include but shall not be limited to the following:

1. Appoint or remove the President and other Officers and administrative officials of the College in accordance with these bylaws; the power to appoint or remove administrative officials, but not Officers of the College may, in the discretion of the Board, be delegated to the President of the College;
2. Approve degrees in course and honorary degrees upon recommendations of the faculty;
3. Establish and review the educational programs of the College;
4. Establish annually the budget of the College, which shall be submitted to it upon recommendation of the Finance Committee;
5. Authorize the construction of new buildings and major renovations of existing buildings;
6. Authorize the sale and purchase of land, buildings or major equipment for the use of the College;
7. Institute and promote major fund raising efforts of the College;
8. Authorize any changes in tuition and fees within the College;
9. Authorize Officers or agents of the College to accept gifts for the College;
10. Authorize the incurring of debts by the College and securing thereof by mortgage and pledge of real and personal property, tangible and intangible.

ARTICLE II
Membership of Board of Trustees

Section 1. The Board of Trustees shall consist of not less than twenty-one (21), nor more than thirty-five (35) persons.

Section 2. New members of the Board of Trustees shall be elected by a majority of the Trustees then in office at each annual meeting of the Board.

Section 3. Trustees shall serve for three-year terms and until their successors are elected and qualified and may succeed themselves in office. However, if a Trustee has served for three consecutive terms (including any partial term), he shall not be eligible for reelection until one year has elapsed after the end of his third term.

Section 4. Any member of the Board of Trustees may be removed from office, for cause, at any meeting of the Board by affirmative vote of two-thirds of the Trustees then in office.

Section 5. Any vacancy in the Board of Trustees may be filled by the remaining Trustees by election at any regular meeting of the Board.

Section 6. No person shall be eligible for election prior to attaining the age of eighteen (18) years, nor shall any Trustee be elected to serve a term commencing after he has attained the age of seventy (70) years.

ARTICLE III
Trustees Emeriti

A Trustee who has served for a minimum of three terms or has served for a minimum of two terms and attained the age of seventy years may, upon recommendation of the Membership Committee, be elected by a majority of the Board as a Trustee Emeritus. This position shall be reserved for those Trustees with records of unusual and distinctive service. Trustees Emeriti shall be elected for three-year terms and may be reelected without limit. They shall be entitled to receive notices of all meetings of the Board, to attend and speak at all such meetings, to receive minutes of all meetings of the Board and Executive Committee, and to be members of all committees except the Executive Committee. They shall have the power to vote in meetings of any committee on which they may serve, but shall not have voting powers in meetings of the Board of Trustees. A Trustee Emeritus shall not be counted as a member of the Board of Trustees for any purpose.

ARTICLE IV
Officers of the College

Section 1. The Officers of the College shall be the Chairman and Vice Chairman of the Board of Trustees, the President, one or more Vice Presidents, a Secretary and a Treasurer. All Officers shall be appointed by the Trustees. Unless a vacancy in an office occurs at another time, appointment of Officers shall be held at the annual meeting of the Board. The Chairman and the Vice Chairman shall serve for terms of two years and until their successors are appointed and qualified. The other Officers of the College shall serve such terms as may be determined by the Board of Trustees.

Section 2. The Chairman and Vice Chairman shall be members of the Board of Trustees. The President shall be ex officio a member of the Board without power to vote and shall not be counted as a member of the Board or any committee on which he may serve for any purpose. No other Officer need be a member of the Board of Trustees.

Section 3. The Board may appoint one or more Vice Presidents, Assistant Treasurers, Assistant Secretaries, and such other Officers as may be deemed necessary for the proper management of the College.

Section 4. All Officers of the College shall hold office at the discretion of the Board of Trustees and shall be subject to removal by affirmative vote of a majority of the entire membership of the Board of Trustees, without prejudice to any contract rights such Officer may have against the College.

Section 5. In the event of a vacancy in the office of the President, the Board shall appoint a special Presidential Search Committee to submit nominations for candidates for that office. A vacancy in any of the offices of the College may be filled at any meeting of the Board of Trustees.

ARTICLE V
Powers and Duties of the Chairman and Vice Chairman of the Board of Trustees

The Chairman shall preside at all meetings of the Board of Trustees, shall have a right to vote on all questions, shall appoint to all committees the members who are not appointed by the Board of Trustees, and shall have such other powers and duties as the Board from time to time may prescribe. In the absence of the Chairman, the Vice Chairman shall perform the duties of the office of the Chairman.

ARTICLE VI
Powers and Duties of the President of the College

The President of the College shall be the Chief Executive Officer of the College and the official adviser to and executive agent of the Board of Trustees and its Executive Committee. He shall, as educational and administrative head of the College, exercise a general superintendence over all the affairs of the institution, and bring such matters to the attention of the Board as are appropriate to keep the Board fully informed to meet its policy-making responsibilities. He shall have power, on behalf of the Trustees, to perform all acts and execute all documents to make effective the actions of the Board or its Executive Committee. Except as otherwise provided in these bylaws he shall be ex officio a member of all committees of the Board without power to vote.

ARTICLE VII
Powers and Duties of the Vice President(s)

Each Vice President shall have such powers and shall perform such duties as may be assigned to him by the Board of Trustees or the President. In case of the absence or disability of the President, the duties of that office shall be performed by any Vice President designated by the Board of Trustees, or in the absence of any such designation, by the most senior Vice President available, which, in the absence of other criteria established by the Board, shall be the Vice President with the greatest length of service to the College.

ARTICLE VIII
Powers and Duties of the Secretary

The Secretary shall have custody of the seal of the College and shall attest to and affix said seal to such documents as required in the business of the College, including but not limited to deeds, bonds, mortgages, agreements, contracts, diplomas, evidences of the award of degrees, transcripts, abstracts of resolutions, certificates, minutes, and bylaws issued pursuant to the authority of the College. He shall give proper notice of all meetings of the Board of Trustees and shall keep a record of the appointment of all committees of the Board of Trustees and members of the administrative and teaching staffs. He shall keep or cause to be kept a record of the minutes of all meetings of the Board of Trustees and each of its committees. Any of the duties or powers of the Secretary may be performed by an Assistant Secretary who shall be responsible to and report to the Secretary.

ARTICLE IX
Powers and Duties of the Treasurer

The Treasurer shall be the Chief Financial Officer of the College. He shall have the duty to keep or cause to be kept full and accurate accounts of all receipts and disbursements and to obey all lawful orders of the Trustees, the President of the College, and the Finance, Audit and Investment Committees respecting funds, property, and accounts of the College. He shall be responsible for the preparation of any corporate financial reports as may be required by departments of government, including but not limited to [the applicable state authority]. The Treasurer shall, in the name of the College, give receipts for monies or property as shall be required, deposit funds in accordance with resolution and direction of the Finance Committee or the Board of Trustees, and safeguard the money of the College. He shall not pay out any money unless by order of the Board of Trustees or under such regulations or with such approval as the Finance Committee or Investment Committee may prescribe. He shall cooperate with any independent auditors or certified public accountants retained by the Board of Trustees for the purpose of conducting audits of the accounts of the College, and shall make reports at meetings of the Board of Trustees or the Finance and Audit Committees with respect to the financial condition of the College at such time and in such form as the Board or the Committees may duly require. The Treasurer shall give a bond to the College faithfully to perform the duties of his office, and to account for all monies and other matters and things which may come into his hands and possession by virtue of said office, in such amount as the audit Committee shall direct.

ARTICLE X
Meetings

Section 1. There shall be four meetings of the Board of Trustees annually, which shall be held in the winter, spring, summer and fall on such date and place as may be designated either by the Board or by any two of the Chairman, the President and the Secretary. The annual meeting of the Board shall be the _____ meeting each year.

Section 2. Special meetings may be held at the call of any two of the Chairman, the President and the Secretary; and it shall be the duty of the Chairman or the Secretary to call such special meetings on the request of five Trustees, setting forth the objects of the meeting.

Section 3. Written notice of all meetings of the Board of Trustees shall be sent by the Secretary to each Trustee at least ten days before the date of the meeting. In the case of special meetings, the notice shall state the purposes of the meeting, and no business shall be transacted at such meeting that does not relate to the purposes stated.

Section 4. Whenever notice is required to be given under the provisions of statutes or of the articles of incorporation or of these bylaws, a waiver thereof in writing signed by the persons entitled to said notice, whether before or after the time stated therein, shall be deemed equivalent thereto. Attendance at any meeting by a Trustee shall be conclusively deemed a waiver of notice of that meeting unless objection be made thereto at such meeting.

Section 5. A majority of the Trustees shall be necessary and sufficient to constitute a quorum for the transaction of business, and the act of a majority of the Trustees present and voting at a duly called meeting of the Board or any committee shall be the act of the Board of Trustees or that committee, except as may be provided by statute or by the articles of incorporation, or by these bylaws.

ARTICLE XI
Action Without Formal Meeting

Any action required or permitted to be taken by the Board of Trustees or by any committee thereof may be taken without a formal meeting. Meetings may be conducted by mail, telegram, cable, or in any other way the Trustees shall decide. However, a written consent setting forth the action so taken and signed by all members of the Board or of a committee, as the case may be, must be filed with the minutes of the proceedings of the Board or the committee.

ARTICLE XII
Committees

Section 1. There may be such special or ad hoc committees as the Board of Trustees may from time to time establish for the discharge of particular duties.

Section 2. There shall be the standing committees specified in this Article. Members of standing committees shall be appointed by the Chairman, after consultation with the Board, annually, at or following the annual meeting of the Board of Trustees. Except as provided in these bylaws, the Chairman of the Board and the President of the College shall be ex officio members of all standing committees, and each standing committee shall include at least three additional Trustees. Except where otherwise provided in this Article, additional members, including persons who are not on the Board of Trustees, may be appointed. The chairman of each standing committee and a majority of its members shall be Trustees.

Section 3. The Board of Trustees may at any time discontinue any of its standing committees for such time as may be determined, and the duties of any committee so discontinued shall be performed during such discontinuance by the Executive Committee.

Section 4. The chairman of any committee, with the consent of the Chairman of the Board, may request the President of the College to appoint an Officer of the College or a member of the administrative staff to serve as a liaison between the committee and the office of the President. Such liaison person shall assist the committee in the carrying out of its duties.

Section 5. Except as provided in this section, all standing committees shall meet at least two times annually.

Section 6. Executive Committee.

a. The Executive Committee shall be composed of ____ members, all of whom shall be Trustees. The Chairman of the Board of Trustees shall be the chairman of the Executive Committee. The Vice Chairman of the Board and the chairman of each standing committee of the Board shall be members of the Executive Committee. The President shall be ex officio a member of the Executive Committee, without power to vote, and shall not be counted as a member of that committee for any purpose.

b. Between meetings of the Board of Trustees, the Executive Committee shall have general supervision of the administration and property of the College except that unless specifically empowered by the Board of Trustees to do so, it may not take any action inconsistent with a prior act of the Board of Trustees, award degrees, alter bylaws, locate permanent buildings on tax-exempt property held for College purposes, remove or appoint the President of the College, or take any action which has been reserved by the Board.

c. The Executive Committee shall meet regularly at least ____times a year in the months of ____, ____, ____, and ____. Special meetings shall be called by the Secretary on the written request of the Chairman or at least three of the members.

d. A majority of the members of the Executive Committee shall constitute a quorum for the transaction of business.

e. The minutes of the meetings of the Executive Committee shall be distributed promptly after each meeting to each member of the Board of Trustees. At each and every meeting of the Board of Trustees, the proceedings and actions taken by the Executive Committee since the last meeting of the Board shall be reported to the Board.

Section 7. Committee on Membership. The Committee on Membership shall be composed of _____ members. It shall present to the Board of Trustees nominations for Trustees to be elected by the Board, and for Chairman, Vice Chairman, Secretary and Treasurer. The Committee shall furnish information relating to the background and qualifications of all such nominees at least two weeks prior to the Board meeting at which an election or appointment is scheduled to take place. The Committee shall develop and administer a program of orientation for newly elected Trustees. The Committee shall also, subject to the requirements as set forth in these bylaws, nominate Trustees Emeriti. It shall report to the Board of Trustees at the annual meeting.

Section 8. Educational Affairs Committee. The Educational Affairs Committee shall be composed of _____members. It shall, in cooperation with the President, study and appraise the quality of the academic program, measure the program relative to other comparable institutions in terms of teaching load, class size, student-faculty ratios, instructional expenditures, research programs, and other relevant factors; formulate desirable short and long range enrollment goals; advise the Finance Committee on the specifications and requirements for financing the academic programs; recommend salary, pension, and other personnel policies concerning the academic personnel; and make such reports and recommendations to the Board of Trustees relative to the foregoing as may be required.

Section 9. Faculty Affairs Committee. The Faculty Affairs Committee shall be composed of _____ members. It shall review matters affecting the faculty of the College, other than those affecting the academic program; consider proposals on such matters and report and make recommendations thereon to the Board of Trustees as may be required.

Section 10. Student Affairs Committee. The Student Affairs Committee shall be composed of _____ members. It shall review matters affecting students of the College, other than those relating to the academic program, consider proposals on such matters, and report and make recommendations thereon to the Board of Trustees as may be required.

Section 11. Finance Committee. The Finance Committee shall be composed of_____ members. It shall review annual operating and capital budgets prepared and presented under the direction of the President and make recommendations with respect thereto to the Board of Trustees. It shall review major financial transactions not provided for in the budget and submit proposed variances with recommendations to the Board of Trustees or Executive Committee. The Treasurer of the College shall be an ex officio member of the Finance Committee, without power to vote and shall not be counted as a member of the Committee for any purpose.

Section 12. Audit Committee. The Audit Committee shall be composed of _____ members. It shall periodically appraise the financial control and accounting systems of the College and recommend any changes it deems appropriate. It shall recommend the designation of an independent auditor each year and shall cause to be prepared and submitted to the Board of Trustees at least once a year an audited statement of the financial condition of the College as of the close of the fiscal year and of the receipts and expenditures for each year. The Committee may request any designated independent auditor, or any officer or employee of the College, to appear before it to report on the financial condition of the College and answer any questions the Committee might have. The President of the College shall not be an ex officio member of the Audit Committee, but may, upon invitation of the Committee, attend any meeting.

Section 13. Development Committee. The Development Committee shall be composed of _____ members. It shall review and recommend fund raising and public relations programs and report to the Finance Committee on fund raising progress and estimates of income to be received therefrom. It shall report on its activities to the Board of Trustees at the annual meeting.

Section 14. Investment Committee. The Investment Committee shall be composed of _____ members. Acting within the scope of investment policy guidelines established by the Board of Trustees, the Committee shall have charge of the investment of all funds of the College, including the power to effect purchases, sales or exchanges of securities and other investment assets of the College. The Committee may employ investment counsel and may delegate authority to purchase or sell securities for the account of the College to such investment counsel or to any Officer of the College subject to such limitations as the Committee may impose. The Committee shall report changes in investments to the Board of Trustees at each Board meeting. It shall from time to time prepare and submit to the Finance Committee estimates of expected endowment income.

Section 15. Building and Grounds Committee. The Building and Grounds Committee shall be composed of _____ members. It shall review and analyze maintenance and operations policy, recommend improvements, review and recommend approval of plans and cost estimates for new facilities, review the annual operating and capital budgets of the Department of Building and Grounds, and recommended approval to the Finance Committee. It shall report on its activities at the annual meeting of the Board of Trustees and at such other times as it may be requested to do so by the Board of Trustees.

ARTICLE XIII
Indemnification

Each Trustee and Officer of the College shall be indemnified by it against all expenses actually and necessarily incurred by such Trustee or Officer in connection with the defense of any action, suit, or proceeding to which he has been made a party by reason of his being or having been such Trustee or Officer except in relation to matters as to which such Trustee or Officer shall be adjudicated in such action, suit, or proceeding to be liable for gross negligence or willful misconduct in the performance of duty.

ARTICLE XIV
Conflicts of Interest

A Trustee shall be considered to have a conflict of interest if (a) such Trustee has existing or potential financial or other interests which impair or might reasonably appear to impair such member's independent, unbiased judgment in the discharge of his responsibilities to the College, or (b) such Trustee is aware that a member of his family (which for purposes of this paragraph shall be a spouse, parents, siblings, children and any other relative if the latter reside in the same household as the Trustee), or any organization in which such Trustee (or member of his family) is an officer, director, employee, member, partner, trustee, or controlling stockholder, has such existing or potential financial or other interests. All Trustees shall disclose to the Board any possible conflict of interest at the earliest practicable time. No Trustee shall vote on any matter, under consideration at a Board or committee meeting, in which such Trustee has a conflict of interest. The minutes of such meeting shall reflect that a disclosure was made and that the Trustee having a conflict of interest abstained from voting. Any Trustee who is uncertain whether he has a conflict of interest in any matter may request the Board or committee to determine whether a conflict of interest exists, and the Board or committee shall resolve the question by majority vote.

ARTICLE XV
Discrimination Prohibited

Section 1. In administering its affairs, the College shall not discriminate against any person on the basis of race, creed, color, national or ethnic origin, sex or age.

Section 2. In interpreting these bylaws, all masculine pronouns shall be deemed to refer equally to the feminine gender.

ARTICLE XVI
Review and Amendment of Bylaws

Section 1. These bylaws may be changed or amended at any meeting of the Trustees by a two-thirds vote of those present, provided notice of the substance of the proposed amendment is sent to all the Trustees at least ten days before the meeting.

Section 2. Prior to each annual meeting of the Board of Trustees, the Executive Committee shall review these bylaws and suggest any necessary changes thereto.

Document 3-2

Title: Analysis of Trustee Strengths, Potential Contribution, and Constituencies Represented

Source: Benjamin E. Sprunger

General Description and Instructions:

The abilities trustees bring to boards determine to a significant extent whether excellence can be achieved. Lengthy searches, careful selection, delicate cultivation, and timing are just as important in obtaining quality trustees and upgrading boards as they are in improving the quality of the faculty. For many administrators, trustee identification and selection are a high priority. Unfortunately, the crush of day-to-day pressure often results in trustee selection being given minimal attention. However, one common characteristic among many institutions that have made significant jumps in enrollment or have obtained an image of excellence is an able, highly committed, and active board.

Every three to five years and certainly when filling board vacancies, the president, executive committee, and nominating committee should do an audit to determine board strengths, weaknesses, and needs. The following chart allows a two-dimensional analysis of board strengths. It can be used as a check sheet, for example, by placing a check in each box when or if it applies to a particular trustee, and then examining for concentration or absence of strengths, skills, or abilities. Another way the chart can be used is to place a weighted score in the squares indicating each trustee's relative strength or weakness in a given ability or area. The weighted scores can be averaged for both individual trustee score and for overall board strength in a given area. A weighted score system might be, but is obviously not limited to:

5 = Superior ability and gives unselfishly of time and money
4 = Above average ability and gives up to expected time and money
3 = Average ability and gives a modest amount of time and money
2 = Below average ability and gives minimal time and money
1 = Not applicable
0 = Misses 40 percent or more meetings; reluctant or refuses to give time or money.

Analysis of Board of Trustees Strengths, Expertise & Constituents Represented

Area of Contribution		Biddle	Snodgrass	Dixon	Dalecarlia	Willard	Jackson	Kerr	Laker	Edwards	Oster	Richards	Redman	Rosenblatt	Shupe	Smiley	Crawford				Total
Constituent Representative	Alumni Parents Church																				
Education: Instruction/Curriculum																					
Facilities: Property Management																					
Financial: Banking/Investments																					
Legal:																					
Management: Corporation/Personnel																					
Parents:																					
Personal: Health/Psych./Soc.																					
Community Relations:																					
Admissions, Marketing & Communications																					
Development and Fund Raising																					
Total																					

Those who study higher education Boards of Trustees have established the following rule of thumb: trustees should fall into one or more of three categories listed below.

Area of Contribution		Biddle	Snodgrass	Dixon	Dalecarlia	Willard	Jackson	Kerr	Laker	Edwards	Oster	Richards	Redman	Rosenblatt	Shupe	Smiley	Crawford				Total
Can and Will Give																					
Can and Will Open Doors to People Who Can Give																					
Has Special Expertise That is Most Needed																					

Document 3-3

Title: Keeping Trustees Informed

Source: Robert Baptista, President, Taylor University

General Description and Instructions:

It is not uncommon for trustees to complain, on the one hand, that they have inadequate information for reaching decisions and, on the other, that they cannot possibly read everything sent or given them. These apparently contradictory statements are both true. Most boards are provided large amounts of information immediately prior to meetings and minimal information during the intervals between meetings.

Keeping trustees well informed is the responsibility of the president. Some presidents have found biweekly or monthly newsletters a convenient way to provide a continuous but not overburdening flow of information to trustees. For example, the Taylor University periodic letter to trustees uses the left column to identify the short narratives contained in the body of the letter. The format for periodic reporting is limited only by the creativity of the author. However, periodic letters should be short and to the point so as to increase and hold trustee readership.

Taylor University
Upland, Indiana 46989

Robert C. Baptista
President

Memo to Taylor Trustees

April 12, 1978

IT'S SPRING

Spring has finally arrived in Upland, Indiana. All of the snow has disappeared and the grass has turned a lush green. Soon the trees and flowers will be in bloom and the winter of 1978 is just a bad memory. The tennis courts are full and there are students running all over the campus almost every hour of the day. It's really a good time to be alive.

FREAK ACCIDENT

The return of good weather also increases the possibilities of personal injury as students are involved in a variety of athletic activities on campus. Junior student Marlene Alderink was walking across campus and stepped the wrong way into the path of a rider practicing for the annual bike-a-thon. Marlene was knocked to the pavement and suffered a severe compound skull fracture. Only prompt action by students nearby saved her life. She was rushed by ambulance to a Fort Wayne hospital where she remains in critical but stable condition. As a result of the accident, the bike-a-thon committee has drastically altered the practice rules by limiting practice to the hours between dawn and 7:30 a.m. and also providing track marshals who will patrol the course to alert any early morning strollers. With 1400 active students, we must exercise continual vigilance in safety matters.

SAVE THESE DATES

Trustee meetings scheduled for the months ahead as follows:

Thursday and Friday, May 18, 19, 1978
Thursday and Friday, October 12, 13, 1978 (Homecoming)
Thursday and Friday, January 18, 19, 1979 (Florida area)

MEDICAL TECHNOLOGY

During the month of January, Dean Pitts has been able to finalize affiliation with two more hospital-based schools of medical technology in the region. These new affiliations are at St. Joseph's Hospital, Fort Wayne and St. Joseph Memorial Hospital of Kokomo. These affiliations, and other hospital-based medical technology schools, provide Taylor students an avenue of study to complete the fourth year of their degree requirements for a Bachelor of Arts in medical technology.

ENROLLMENT PROJECTIONS

The enrollment projections for September, 1978 look extremely favorable. The last report indicated that we were ahead of last year in applications received (+9%), students accepted (+6%), and students who have already made their initial payment (+6%). Dean Ron Keller estimates that we will be completely full for the fall term and that we will again be full for the second semester. The admissions situation has created a new problem for us--public relations. With more students applying than ever before, we, obviously, have to reject an increasing number of eager young people. We are working very hard to ease the pain of rejection and to encourage such students to either renew the application for the spring term or to counsel them as to alternate educational plans.

(over)

SPECIAL SPEAKERS 1978-79

Speakers for the two special emphasis weeks during the 1978-79 school year have been announced. The fall series (September 24-29, 1978) will be led by Rev. Tom Mullen of the Earlham School of Religion. The spring seriés (February 12-16, 1979) will be conducted by Rev. Gordon MacDonald of Grace Chapel in Lexington, Massachusetts. Both men have had successful ministries on the Taylor campus in the past, and we look forward to these meetings with great anticipation.

FACULTY ADDITIONS

This is the season for faculty recruitment, and Dean Pitts has been working diligently to bring qualified candidates to campus for interviews. To date two key positions have been filled. Dr. William Fry, presently Head of the English and Speech Department at Nyack College in New York, will be coming to chair the Department of English. Philip Jones, who anticipates completion of the Ph.D. this summer, will be coming from Grace College to chair the Department of Modern Languages. Other appointments are pending.

COMMENCEMENT

Baccalaureate and Commencement services are scheduled for Saturday, May 13, 1978. At the 9:30 a.m. Baccalaureate service the featured speaker will be Forrest J. Boyd of the International Media Service. Mr. Boyd is an experienced newsman who for many years was the White House correspondent for the Mutual Broadcasting system. The Commencement itself will be held at 2 p.m. with both services in the college gymnasium.

NEW HEADACHE

Under the new copyright law that took effect January 1, 1978, colleges and universities are subject to substantial fines for copyrighted music played on the campus unless royalties or license fees are paid. Following extensive discussion and negotiation between the higher education community and the three performing-rights agencies: American Society of Composers, Authors, and Publishers (ASCAP); Broadcast Music Inc. (B.M.I.); and the Society of European Stage Authors and Composers (SESAC), it appears that Taylor, with other colleges, will pay an annual fee to each organization. Fees are generally based on enrollment so the total amount will not be excessive--but every little bit hurts.

SPRING ATHLETICS

It is a bit early to tell but it appears that our athletic teams (men's and women's) will once again represent Taylor well this spring. The golf team has won a couple of tournaments and extended its long winning streak on the home Walnut Creek course. Both men's baseball and women's softball have only lost once in four contests. The women opened their season with an almost sinful 50-0 margin over another Indiana college (whose name shall not be disclosed here for humanitarian reasons). Both track teams appear capable of winning far more than they lose. All in all, it should be an exciting spring.

GEM

PAST EXPERIENCE SHOULD BE A GUIDEPOST--NOT A HITCHING POST.

Document 3-4

Title: Organizational Charts

Source: President Robert D. Swanson, Alma College; President Wendell M. Patton, High Point College; President Thomas J. Clifford, The University of North Dakota; Authors, Exemplar College

General Description:

The organizational chart is like a blueprint of the organizational structure. In schematic form it shows: (1) the administrative structure for authority, delegation, function and division of labor; (2) the relationship between divisions, departments, and units and their relative importance; (3) the organizational philosophy; (4) the formal communication channels; and (5) the line-staff relationships. It is also important to realize that the organizational chart is only a symbolic device portraying the formal organization, and it does not necessarily reveal the informal structures or the way in which institutional business is conducted.

Organizational charts are limited only by the imagination of the person creating them. The most commonly used criteria for charting are title, function, and lines of communication. Frequently names are also included. Perhaps the most important use of the chart is to help outsiders and new employees understand how the organizational work has been divided, interrelationships of units, and who is accountable for what. Thus, in creating a chart, it is most helpful if names, functions, and reporting relationships are included.

Instructions:

The following organizational charts illustrate different ways of representing institutional structures.

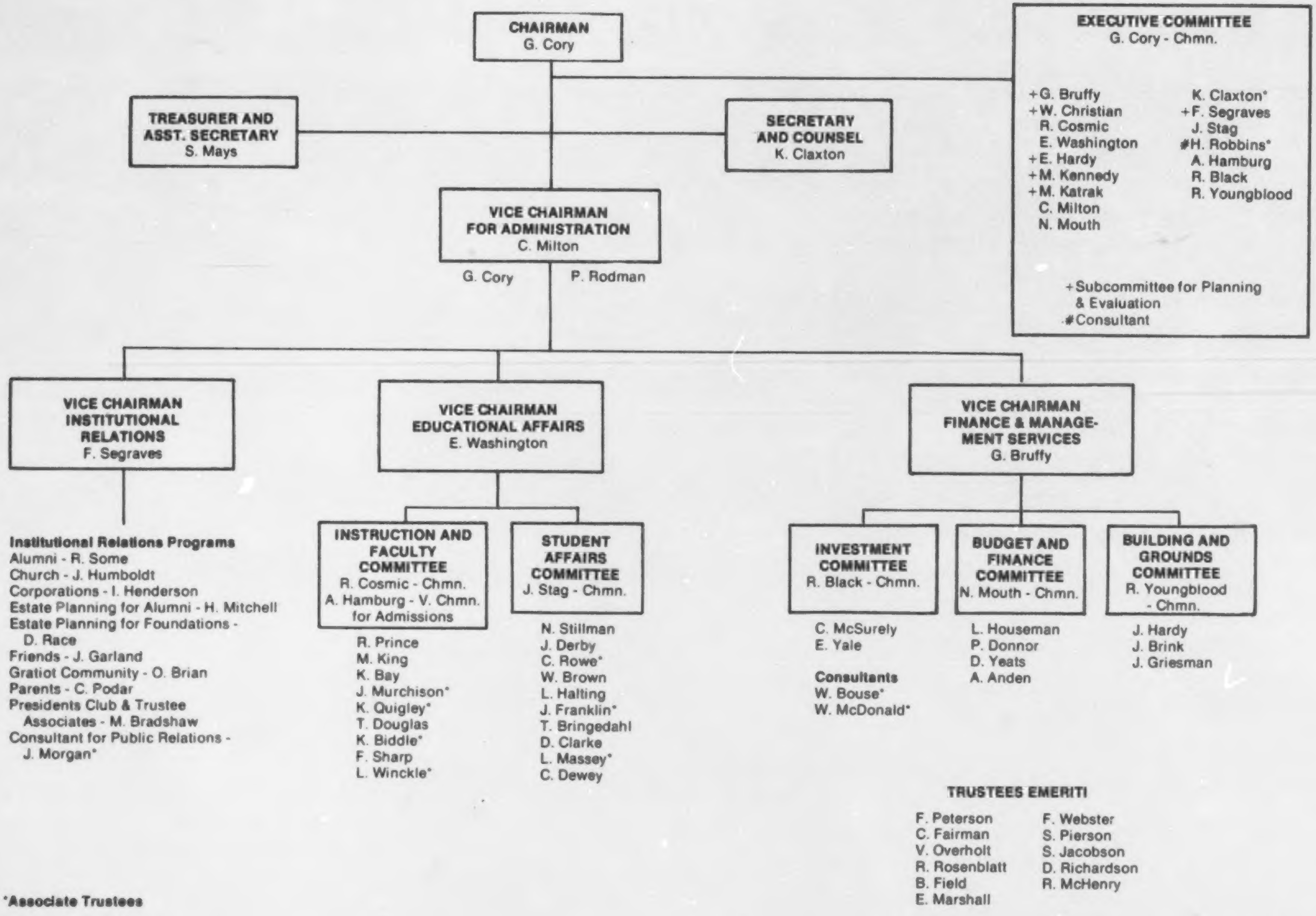
Alma College: This organizational chart indicates the traditional block charts by function. What is interesting to note is the separate charts—one for the trustees and one for the college administrative organization. (All names used in these charts are fictitious.)

High Point College: This chart is also a traditional block chart by function but without names. What is noteworthy about this chart is that it attempts to integrate academic departments and faculty standing committees.

University of North Dakota: This chart shows functional divisions, but deviates from the traditional block format by using the circle-and-spokes design. This type of charting tends to de-emphasize the hierarchical structure as found in the traditional line block format. With each wheel representing a division, it is relatively easy to show details for each division by exploding each one on a separate chart that provides graphic detail for the divisional subunits.

Exemplar College: This type of organizational chart attempts to portray the nature of the collegial community indicating the interrelated and interdependent policy-making functions. The chart shows the flow of activity from the community through representative groups to an all-campus senate that works with and through the president to the trustees. The model incorporates the traditional line authority of the trustees through the president. However, it deviates significantly from traditional models both graphically and in the on-campus reporting relationships.

ALMA COLLEGE
Board of Trustees Organization Chart



CHAIRMAN
G. Cory

TREASURER AND ASST. SECRETARY
S. Mays

SECRETARY AND COUNSEL
K. Claxton

EXECUTIVE COMMITTEE
G. Cory - Chmn.

+G. Bruffy
+W. Christian
R. Cosmic
E. Washington
+E. Hardy
+M. Kennedy
+M. Katrak
C. Milton
N. Mouth
K. Claxton*
+F. Segraves
J. Stag
#H. Robbins*
A. Hamburg
R. Black
R. Youngblood

+Subcommittee for Planning & Evaluation
#Consultant

VICE CHAIRMAN FOR ADMINISTRATION
C. Milton

G. Cory
P. Rodman

VICE CHAIRMAN INSTITUTIONAL RELATIONS
F. Segraves

Institutional Relations Programs
Alumni - R. Some
Church - J. Humboldt
Corporations - I. Henderson
Estate Planning for Alumni - H. Mitchell
Estate Planning for Foundations - D. Race
Friends - J. Garland
Gratiot Community - O. Brian
Parents - C. Podar
Presidents Club & Trustee Associates - M. Bradshaw
Consultant for Public Relations - J. Morgan*

VICE CHAIRMAN EDUCATIONAL AFFAIRS
E. Washington

INSTRUCTION AND FACULTY COMMITTEE
R. Cosmic - Chmn.
A. Hamburg - V. Chmn. for Admissions

R. Prince
M. King
K. Bay
J. Murchison*
K. Quigley*
T. Douglas
K. Biddle*
F. Sharp
L. Winckle*

STUDENT AFFAIRS COMMITTEE
J. Stag - Chmn.

N. Stillman
J. Derby
C. Rowe*
W. Brown
L. Halting
J. Franklin*
T. Bringedahl
D. Clarke
L. Massey*
C. Dewey

VICE CHAIRMAN FINANCE & MANAGEMENT SERVICES
G. Bruffy

INVESTMENT COMMITTEE
R. Black - Chmn.

C. McSurely
E. Yale

Consultants
W. Bouse*
W. McDonald*

BUDGET AND FINANCE COMMITTEE
N. Mouth - Chmn.

L. Houseman
P. Donnor
D. Yeats
A. Anden

BUILDING AND GROUNDS COMMITTEE
R. Youngblood - Chmn.

J. Hardy
J. Brink
J. Griesman

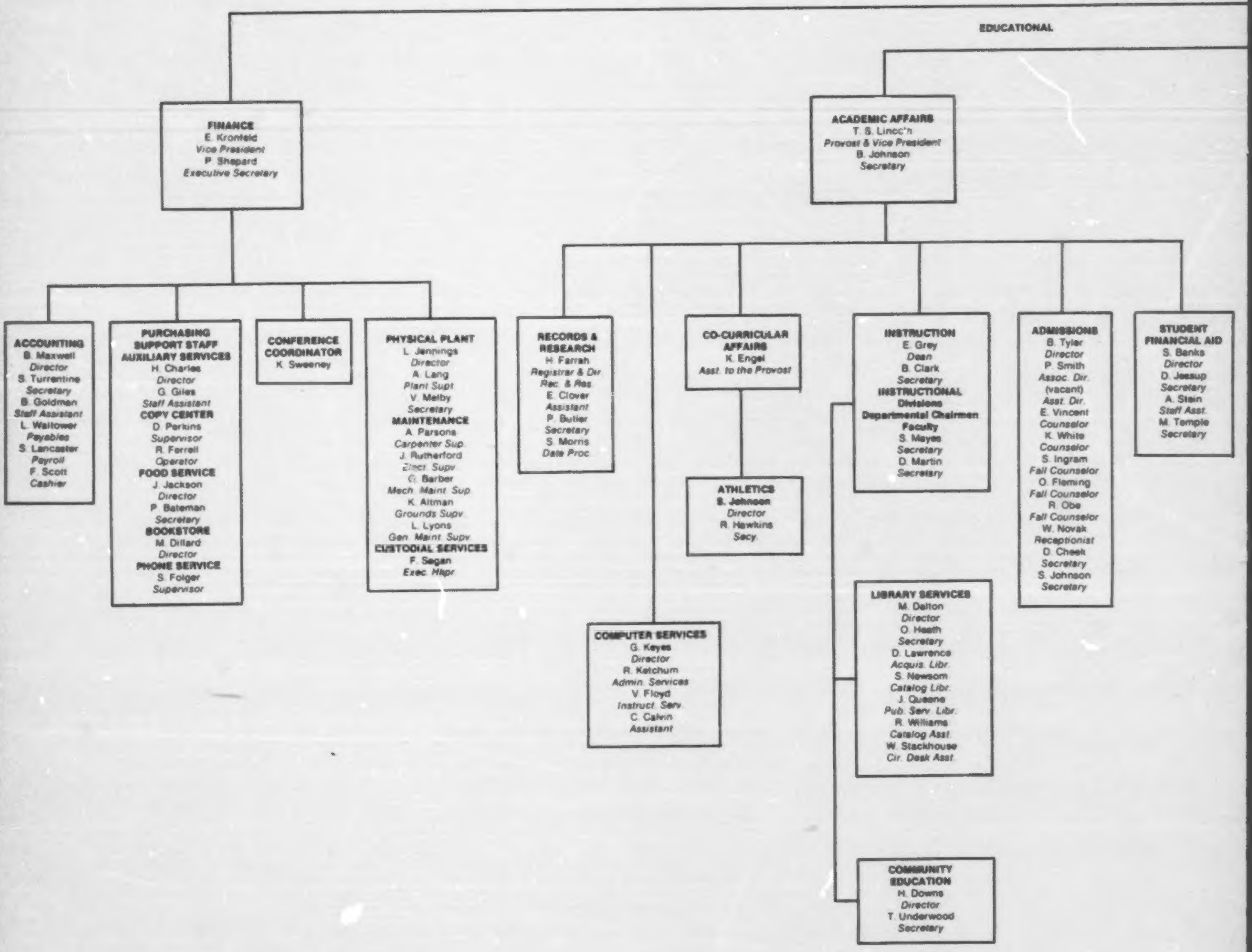
TRUSTEES EMERITI

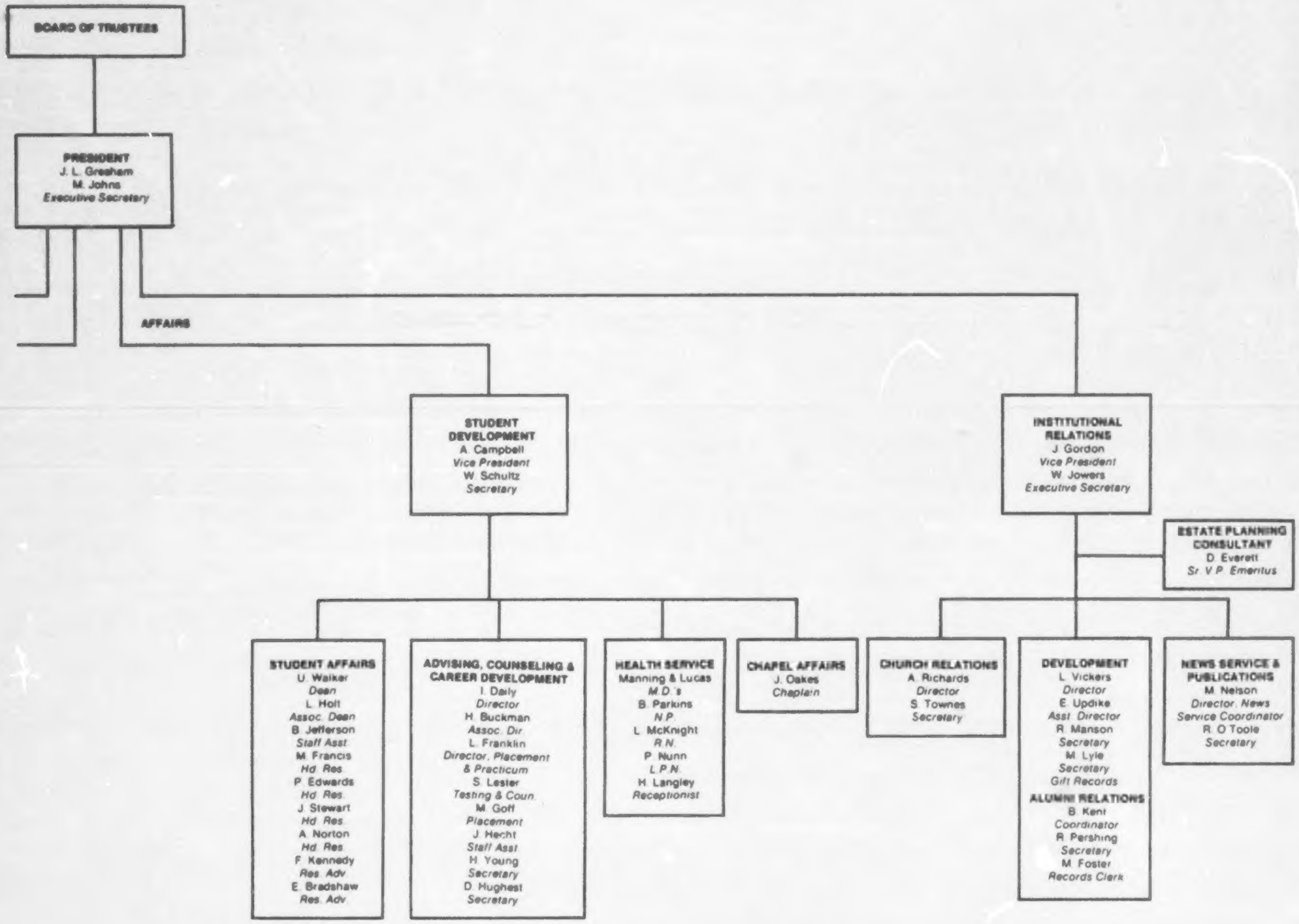
F. Peterson
C. Fairman
V. Overholt
R. Rosenblatt
B. Field
E. Marshall
F. Webster
S. Pierson
S. Jacobson
D. Richardson
R. McHenry

*Associate Trustees

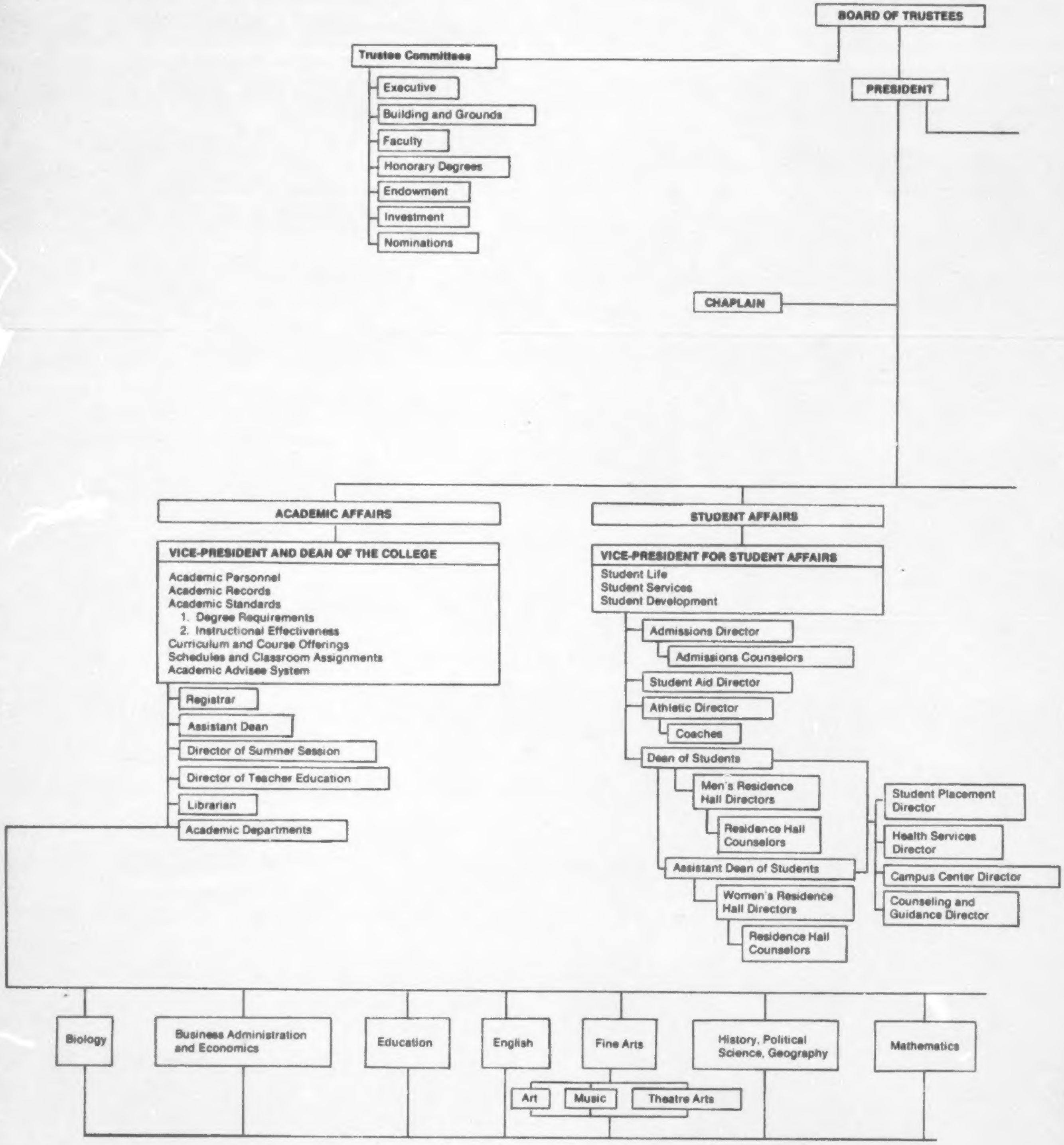
Reprinted with permission.

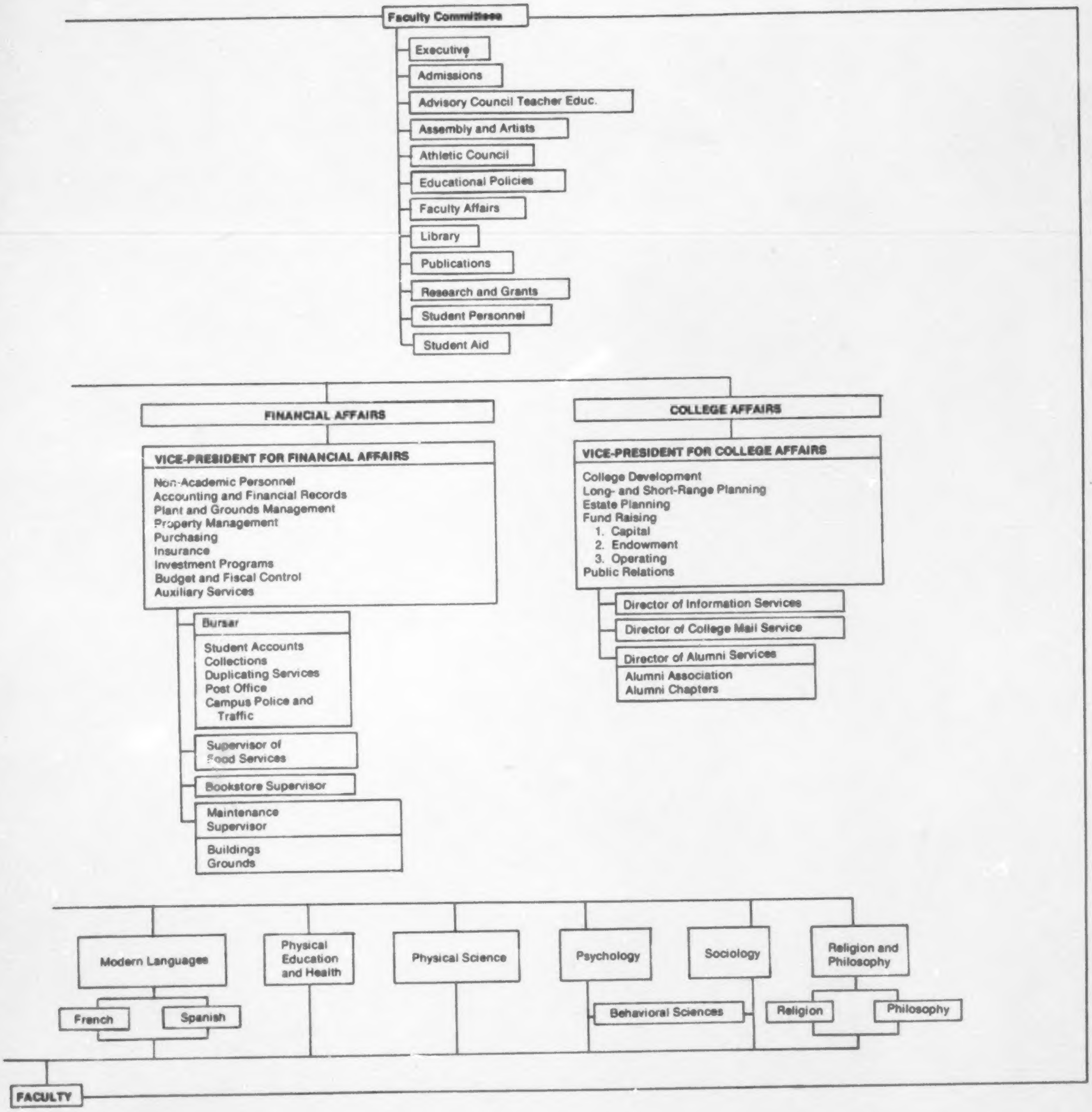
ALMA COLLEGE
Administrative Organization Chart


EDUCATIONAL
FINANCE
E. Kronfeld
Vice President
P. Shepard
Executive Secretary
ACCOUNTING
B. Maxwell
Director
S. Turrentine
Secretary
B. Goldman
Staff Assistant
L. Waltower
Payables
S. Lancaster
Payroll
F. Scott
Cashier
PURCHASING
SUPPORT STAFF
AUXILIARY SERVICES
H. Charles
Director
G. Giles
Staff Assistant
COPY CENTER
D. Perkins
Supervisor
R. Ferrell
Operator
FOOD SERVICE
J. Jackson
Director
P. Bateman
Secretary
BOOKSTORE
M. Dillard
Director
PHONE SERVICE
S. Folger
Supervisor
CONFERENCE
COORDINATOR
K. Sweeney
PHYSICAL PLANT
L. Jennings
Director
A. Lang
Plant Supt
V. Melby
Secretary
MAINTENANCE
A. Parsons
Carpenter Sup.
J. Rutherford
Elect. Supv.
G. Barber
Mech. Maint. Sup.
K. Altman
Grounds Supv.
L. Lyons
Gen. Maint. Supv.
CUSTODIAL SERVICES
F. Segan
Exec. Hkpr.
ACADEMIC AFFAIRS
T. S. Lincc'n
Provost & Vice President
B. Johnson
Secretary
RECORDS &
RESEARCH
H. Farrah
Registrar & Dir.
Rec. & Res.
E. Clover
Assistant
P. Butler
Secretary
S. Morris
Data Proc.
COMPUTER SERVICES
G. Keyes
Director
R. Ketchum
Admin. Services
V. Floyd
Instruct. Serv.
C. Calvin
Assistant
CO-CURRICULAR
AFFAIRS
K. Engel
Asst. to the Provost
ATHLETICS
S. Johnson
Director
R. Hawkins
Secy.
INSTRUCTION
E. Grey
Dean
B. Clark
Secretary
INSTRUCTIONAL
Divisions
Departmental Chairmen
Faculty
S. Mayes
Secretary
D. Martin
Secretary
LIBRARY SERVICES
M. Dalton
Director
O. Heath
Secretary
D. Lawrence
Acquis. Libr.
S. Newsom
Catalog Libr.
J. Queene
Pub. Serv. Libr.
R. Williams
Catalog Asst.
W. Stackhouse
Cir. Desk Asst.
COMMUNITY
EDUCATION
H. Downs
Director
T. Underwood
Secretary
ADMISSIONS
B. Tyler
Director
P. Smith
Assoc. Dir.
(vacant)
Asst. Dir.
E. Vincent
Counselor
K. White
Counselor
S. Ingram
Fall Counselor
O. Fleming
Fall Counselor
R. Obe
Fall Counselor
W. Novak
Receptionist
D. Cheek
Secretary
S. Johnson
Secretary
STUDENT
FINANCIAL AID
S. Banks
Director
D. Jessup
Secretary
A. Stein
Staff Asst.
M. Temple
Secretary


BOARD OF TRUSTEES
PRESIDENT
J. L. Gresham
M. Johns
Executive Secretary
AFFAIRS
STUDENT DEVELOPMENT
A. Campbell
Vice President
W. Schultz
Secretary
INSTITUTIONAL RELATIONS
J. Gordon
Vice President
W. Jowers
Executive Secretary
ESTATE PLANNING CONSULTANT
D. Everett
Sr. V.P. Emeritus
STUDENT AFFAIRS
U. Walker
Dean
L. Holt
Assoc. Dean
B. Jefferson
Staff Asst.
M. Francis
Hd. Res.
P. Edwards
Hd. Res.
J. Stewart
Hd. Res.
A. Norton
Hd. Res.
F. Kennedy
Res. Adv.
E. Bradshaw
Res. Adv.
ADVISING, COUNSELING & CAREER DEVELOPMENT
I. Daily
Director
H. Buckman
Assoc. Dir.
L. Franklin
Director, Placement & Practicum
S. Lester
Testing & Coun.
M. Goff
Placement
J. Hecht
Staff Asst.
H. Young
Secretary
D. Hughest
Secretary
HEALTH SERVICE
Manning & Lucas
M.D.'s
B. Parkins
N.P.
L. McKnight
R.N.
P. Nunn
L.P.N.
H. Langley
Receptionist
CHAPEL AFFAIRS
J. Oakes
Chaplain
CHURCH RELATIONS
A. Richards
Director
S. Townes
Secretary
DEVELOPMENT
L. Vickers
Director
E. Updike
Asst. Director
R. Manson
Secretary
M. Lyle
Secretary
Gift Records
ALUMNI RELATIONS
B. Kent
Coordinator
R. Pershing
Secretary
M. Foster
Records Clerk
NEWS SERVICE & PUBLICATIONS
M. Nelson
Director, News Service Coordinator
R. O Toole
Secretary

ADMINISTRATIVE
CHART OF ORGANIZATION
HIGH POINT COLLEGE

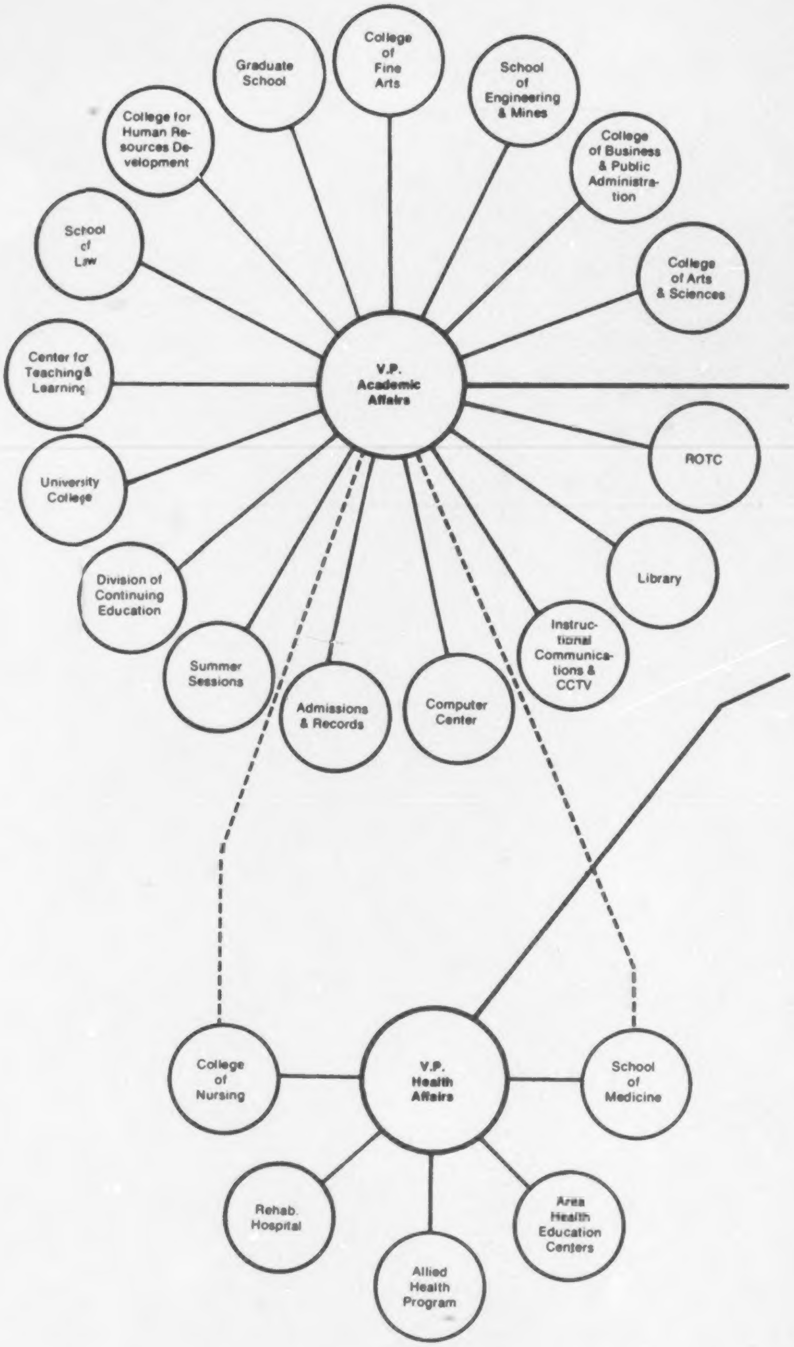

BOARD OF TRUSTEES
Trustee Committees
Executive
Building and Grounds
Faculty
Honorary Degrees
Endowment
Investment
Nominations
PRESIDENT
CHAPLAIN
ACADEMIC AFFAIRS
VICE-PRESIDENT AND DEAN OF THE COLLEGE
Academic Personnel
Academic Records
Academic Standards
1. Degree Requirements
2. Instructional Effectiveness
Curriculum and Course Offerings
Schedules and Classroom Assignments
Academic Advisee System
Registrar
Assistant Dean
Director of Summer Session
Director of Teacher Education
Librarian
Academic Departments
STUDENT AFFAIRS
VICE-PRESIDENT FOR STUDENT AFFAIRS
Student Life
Student Services
Student Development
Admissions Director
Admissions Counselors
Student Aid Director
Athletic Director
Coaches
Dean of Students
Men's Residence Hall Directors
Residence Hall Counselors
Assistant Dean of Students
Women's Residence Hall Directors
Residence Hall Counselors
Student Placement Director
Health Services Director
Campus Center Director
Counseling and Guidance Director
Biology
Business Administration and Economics
Education
English
Fine Arts
History, Political Science, Geography
Mathematics
Art
Music
Theatre Arts


Faculty Committees
Executive
Admissions
Advisory Council Teacher Educ.
Assembly and Artists
Athletic Council
Educational Policies
Faculty Affairs
Library
Publications
Research and Grants
Student Personnel
Student Aid
FINANCIAL AFFAIRS
VICE-PRESIDENT FOR FINANCIAL AFFAIRS
Non-Academic Personnel
Accounting and Financial Records
Plant and Grounds Management
Property Management
Purchasing
Insurance
Investment Programs
Budget and Fiscal Control
Auxiliary Services
Bursar
Student Accounts
Collections
Duplicating Services
Post Office
Campus Police and Traffic
Supervisor of Food Services
Bookstore Supervisor
Maintenance Supervisor
Buildings
Grounds
COLLEGE AFFAIRS
VICE-PRESIDENT FOR COLLEGE AFFAIRS
College Development
Long- and Short-Range Planning
Estate Planning
Fund Raising
1. Capital
2. Endowment
3. Operating
Public Relations
Director of Information Services
Director of College Mail Service
Director of Alumni Services
Alumni Association
Alumni Chapters
Modern Languages
French
Spanish
Physical Education and Health
Physical Science
Psychology
Behavioral Sciences
Sociology
Religion and Philosophy
Religion
Philosophy
FACULTY

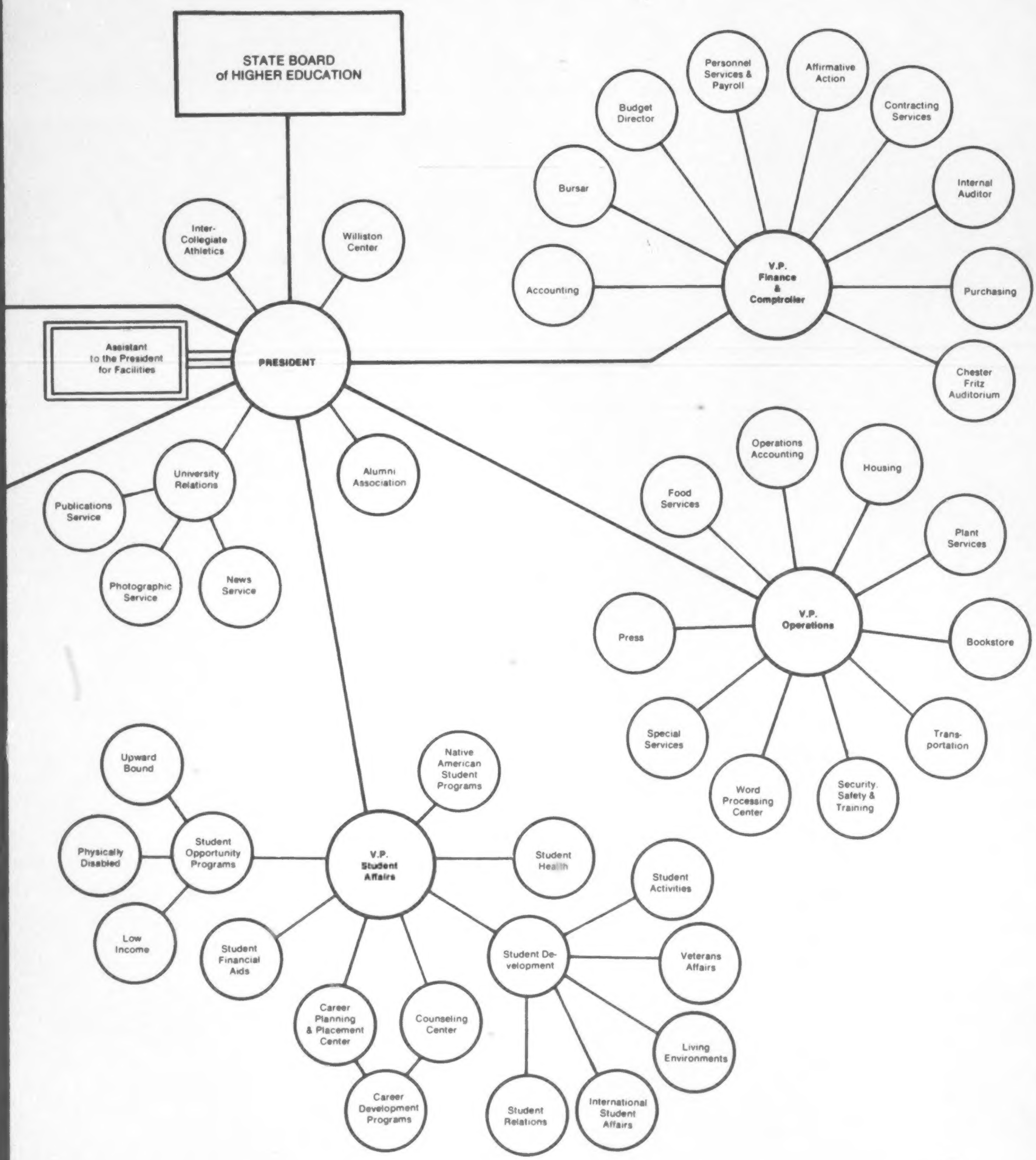
UNIVERSITY OF NORTH DAKOTA

Master Organization Chart

Revised: 7-75

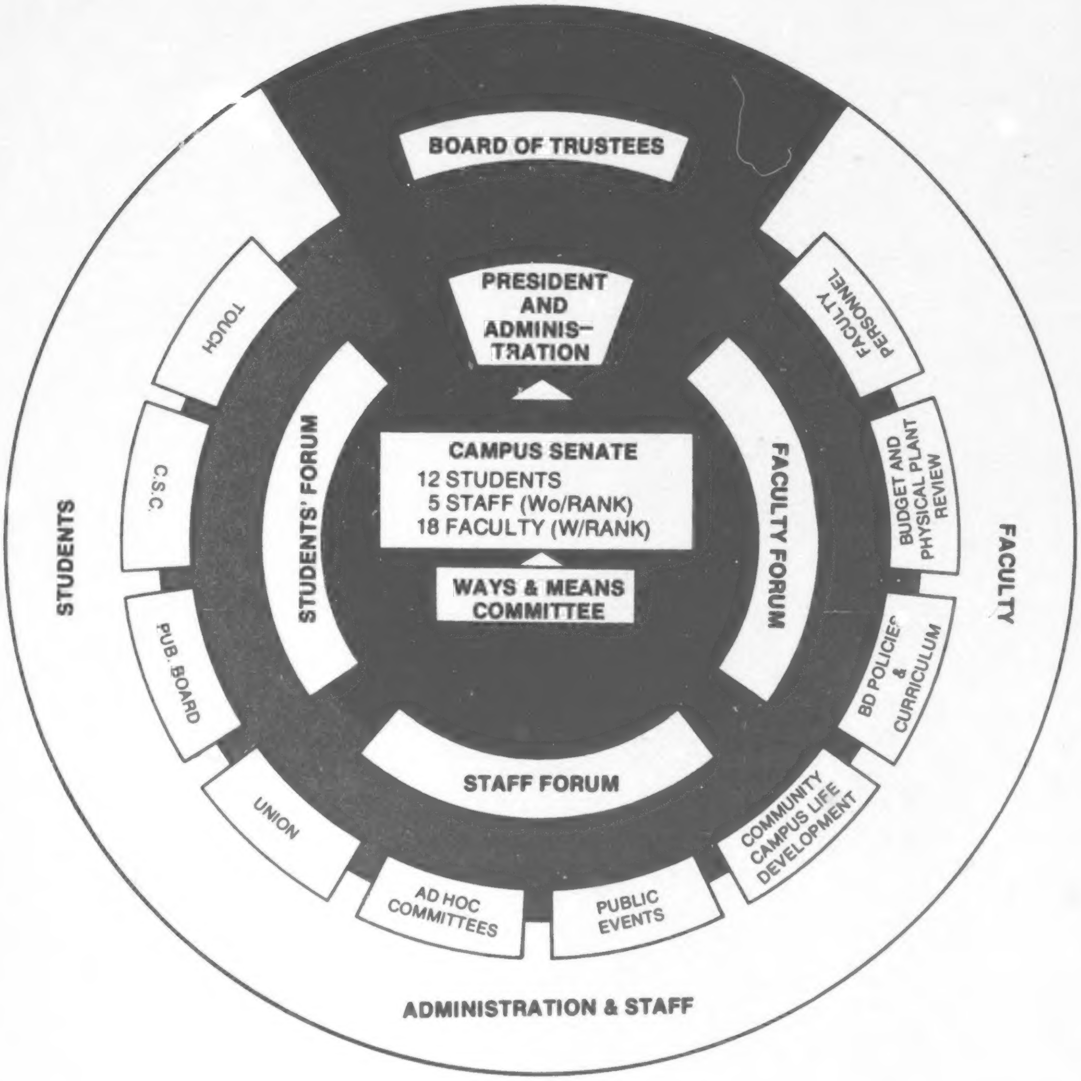


V.P. Academic Affairs
Graduate School
College of Fine Arts
School of Engineering & Mines
College of Business & Public Administration
College of Arts & Sciences
College for Human Resources Development
School of Law
Center for Teaching & Learning
University College
Division of Continuing Education
Summer Sessions
Admissions & Records
Computer Center
Instructional Communications & CCTV
Library
ROTC
V.P. Health Affairs
College of Nursing
School of Medicine
Rehab. Hospital
Allied Health Program
Area Health Education Centers


STATE BOARD of HIGHER EDUCATION
Inter-Collegiate Athletics
Williston Center
Assistant to the President for Facilities
PRESIDENT
University Relations
Publications Service
Photographic Service
News Service
Alumni Association
Budget Director
Personnel Services & Payroll
Affirmative Action
Contracting Services
Bursar
Internal Auditor
Accounting
V.P. Finance & Comptroller
Purchasing
Chester Fritz Auditorium
Operations Accounting
Housing
Food Services
Plant Services
Press
V.P. Operations
Bookstore
Special Services
Trans-portation
Word Processing Center
Security, Safety & Training
Upward Bound
Native American Student Programs
Physically Disabled
Student Opportunity Programs
V.P. Student Affairs
Student Health
Student Activities
Low Income
Student Financial Aids
Student De-velopment
Veterans Affairs
Career Planning & Placement Center
Counseling Center
Living Environments
Career Development Programs
Student Relations
International Student Affairs

PROPOSED GOVERNANCE MODEL FOR EXEMPLAR COLLEGE

RECOMMEND & SUGGEST	☐	REVIEW & IMPLEMENTATION
REVIEW & RECOMMEND	▨	REVIEW & DECISION
REVIEW & DECISION	■	RECOMMEND


BOARD OF TRUSTEES
PRESIDENT AND ADMINISTRATION
CAMPUS SENATE
12 STUDENTS
5 STAFF (Wo/RANK)
18 FACULTY (W/RANK)
WAYS & MEANS COMMITTEE
STUDENTS' FORUM
FACULTY FORUM
STAFF FORUM
TOUCH
C.S.C.
PUB. BOARD
UNION
AD HOC COMMITTEES
PUBLIC EVENTS
COMMUNITY CAMPUS LIFE DEVELOPMENT
BD POLICIES & CURRICULUM
BUDGET AND PHYSICAL PLANT REVIEW
FACULTY PERSONNEL
STUDENTS
FACULTY
ADMINISTRATION & STAFF

Document 3-5

Title: Organizational Manuals

Source: Benjamin E. Sprunger

General Description:

An organizational manual or Faculty Staff Handbook* should spell out the institution's mission, objectives, and organizational structure. It should also contain a list of administrative personnel titles, including the duties of each position and their placement in the organizational framework; all policies affecting personnel; and as many operating policies and procedures that are appropriate and can be accommodated in the manual.

Ideally, organizational manuals should be updated annually. In cases of changes affecting personnel policies, amended pages should be issued. (See discussion in Chapter 3 for additional details.)

Instructions for Use:

Although it is impossible to illustrate a complete manual, examples of organizational manual tables of contents and sample pages follow. These examples may be used as guidelines to create a new manual or review an existing one.

---

* Other common titles for organizational manuals are faculty manual, administrative handbook, policies and procedures manual, etc.

Example I of Material Included in Organizational Manual

TABLE OF CONTENTS

The Nature and Purpose of the University, 1

1. **Organization and Governance,** 1
   - Membership of the Board of Trustees, 5
   - Authority of the Board, 5
   - Standing Committees of the Board, 5
   - Responsibilities of the President, 5
   - Responsibilities of the Chancellor, The University of Tennessee, Knoxville, 6
   - Administrative Organization of The University of Tennessee, Knoxville, 6
   - Administrative and Academic Committees, 6
   - Chart I: The University of Tennessee Organization, 7
   - Chart II: General Administrative Organization, The University of Tennessee, Knoxville, 8
   - Chart III: Organization of Academic Programs, The University of Tennessee, Knoxville, 9
2. **Faculty Governance,** 11
   - Annual Meeting, 11
   - The Faculty Senate, 11
   - Organization of the Faculty Senate, 11
   - Members, Number, Classification, and Terms of Office, 12
   - Meetings, 12
   - Officers, 12
   - Representation to the University Council, 12
   - Committees of the Senate, 12
3. **Appointment of the Faculty,** 15
   - Faculty Ranks, 15
   - Part-time Appointments, 15
   - Limited-term Appointments, 15
   - Graduate Student Appointments, 16
   - Part-time Instructors, 16
   - Rank of Emeritus, 16
   - Privilege to Direct Theses and Dissertations and Teach Graduate Courses, 16
   - Eligibility for Appointment, 16
   - Criteria for Appointment, 16
   - Term of Appointment, 17
   - Procedure, 17
4. **Promotions and Salary Adjustments,** 19
   - Criteria for Promotion in Rank, 19
   - Procedures for Effecting Promotions and Salary Adjustments, 19
5. **Freedom, Responsibility, and Tenure,** 21
   - Freedom and Responsibility of the Faculty Member, 21
   - Probationary Employment, 21
   - Procedures Governing the Probationary Period, 22
   - Review of Complaints Concerning Alleged Violations of Academic Freedom, 23
   - Tenure Appointments, 23
   - Criteria for Tenure Decisions, 23
   - Procedures for Termination of Tenured Personnel, 23
   - Tenure for Administrative Personnel, 25
6. **Faculty Terminations,** 27
   - Termination of Tenured and Untenured Personnel, 27
   - Resignation, 27
   - Pay Due on Resignation, 27
   - Death, 27
7. **Leaves of Absence, Vacations, and Holidays,** 29
   - Sick Leave, 29
   - Military Leaves for Short Tours of Active Duty, 29
   - Policy Relative to Extended Military Leave, 29
   - Fringe Benefits of University Employees on Leave, with Particular Reference to Military Leave, 29
   - Maternity Leave, 30
   - Vacations and Holidays, 30
   - Annual Vacations for Personnel Employed on a Twelve-Month Basis, 30
   - Annual Vacations for Personnel Employed on a Nine-Month Basis, 30
   - Designated Holidays, 30
8. **Retirement Plans for Academic and Administrative Personnel,** 31
   - Social Security, 31
   - University of Tennessee Retirement Plans, 31
9. **Insurance Coverage,** 33
   - Health, Accident, and Hospitalization Group Insurance Plan, 33
   - Comprehensive General Public Liability Insurance, 33
   - Workmen's Compensation Insurance, 33
10. **Research Policies and Procedures,** 35
    - Funding Sources, 35
    - Faculty Research Fund, 35
    - Faculty Time, 35
    - Student Support, 35
    - Allowable Salary Costs on Federally-Sponsored Research, 36
    - Proposal Preparation, 36
    - Human Subjects, 36
    - Project Costs, 36
    - Indirect Costs (Overhead), 36
    - Staff Benefits, 36
    - Cost Sharing, 36
    - Proposal and Contract Processing, 36
    - Patents, 37
    - UT Research Corporation, 37
    - Conflict of Interest, 37
    - Use of Drugs in Research, 37
11. **Faculty Attendance at Professional Meetings: Travel Policies and Regulations,** 39
12. **Compensated Outside Services,** 45
13. **Student Relations and Instruction,** 47
    - University Expectations of Students, 47
    - Access to the University, 47
    - Student-Faculty Relationships in the Classroom, 47
    - Procedure to be Followed in Reporting Variations from Standards of Conduct, 48
    - Standards of Conduct Closely Related to Instruction, 47
14. **Coursework and Degrees Taken by Faculty and Staff,** 49
    - Payment of Fees, 49
    - Fellowships, 49
    - Graduate Assistantships and Teaching Assistantships, 49
    - Research Assistants, 49
    - Part-time Instructors, 49
    - Instructors, 49
    - Professional Ranks and Other Full-time Employees, 49
    - Earning of Doctoral Degrees by Staff

Members, 49

15. **Related Organizations and Services,** 51
    - Computer Center—Data Processing, 51
    - Course and Instructor Evaluation, 51
    - Institutional Research (OIR), 51
    - International Students and Cultural Affairs (OISCA), 51
    - Learning Research Center (LRC), 51
    - Libraries, 51
    - Photographic Department, 52
    - Publications Service Bureau (PSB), 52
    - Graphic Arts Service (GAS), 52
    - Teaching Materials Center (Films), 52
    - Television Center, 52
    - Transportation Services, 53
    - University of Tennessee Press, 53
    - University of Tennessee Book and Supply Store, 53
    - Vocational-Technical Education and Research, 53
    - Carolyn P. Brown Memorial University Center, 53
    - Carousel and Clarence Brown Theatres, 53
    - Athletic Tickets, 53
    - Credit Union, 53
    - Faculty Club, 53
    - Faculty Women's Club, 53
    - Newcomers' Club, 53
    - Dining Club, 53
    - Personal Athletics, 53

16. **Miscellaneous,** 55
    - Solicitation, 55
    - Faculty and Staff Parking, 55
    - Tutoring, 55
    - Office Hours, 55
    - Use of University Buildings and Keys, 55
    - Fund-Raising Activities, 55

Example II of Material
Included in Organizational Manual

FACULTY HANDBOOK

Table of Contents

FOREWORD iv

I. ORGANIZATION AND ADMINISTRATION 1
- A. The Board of Trustees 1
- B. The President of the University 1
- C. The Teaching Staff 2
- D. Internal Organization of the Faculty 2
  - 1. Membership of the Faculty Assembly 2
  - 2. Officers of the Faculty Assembly 3
  - 3. Committees of the Faculty Assembly 3
  - 4. Meetings 5
  - 5. Jurisdiction and Business 6
- E. The Committee on Personnel 8
- F. Faculty Board and Committees of Shared Responsibility 9
  - 1. The Undergraduate Academic Board 9
  - 2. The Graduate Board 10
  - 3. The Research Board 11
    - a. The Biomedical Sciences Committee 11
    - b. The Committee on Rights of Human Participants in Research and Training Grants 12
    - c. The Committee on Conflict of Interest 12
  - 4. The College Board 13
  - 5. The Undergraduate Admissions Committee 13
  - 6. The Undergraduate Financial Aid Committee 14
  - 7. The Library Committee 14
  - 8. The Computer Committee 14
  - 9. The Evening College Board 15
  - 10. The Summer School Board 15
- G. Committee Terms and Vacancies 15
  - 1. Start of Terms 15
  - 2. Filling Vacancies on Steering Committee and Committee on Personnel 15
  - 3. Vacancies on Other Faculty Committees 16
  - 4. Departmental Organization 16
    - a. Responsibilities of the Department 16
    - b. Student Involvement 17
    - c. Curriculum Review 17
    - d. The Department Chairman 17

II. ADMINISTRATIVE POLICIES AND PRACTICES 18
- A. Responsibilities, Criteria and Procedures in Faculty Personnel Decisions 18
  - 1. General 18
  - 2. Responsibilities 19
  - 3. Standards 23
    - [illegible] General 23
  - 4. Procedures 25
    - a. Department 25
    - b. Academic Administration 27
    - c. The Committee on Personnel 28
    - d. The President 32
  - 5. Terms of Appointment 32
  - 6. Review and Appeal Procedures in the Renewal or Nonrenewal of Faculty Appointments 34
    - a. The Faculty Review Committee 34
    - b. The Decision Not to Renew 34

Example I of Typical Organizational Manual Policy Page

Western Kentucky University Personnel Services Department	Personnel Policies and Procedures Manual	Date Effective: November 1, 1972 Policy Number 1 (Revised)

Subject: Equal Employment Opportunity Policy

Western believes that all persons are entitled to equal employment opportunities, and does not discriminate against its employees, or applicants for employment, because of race, creed, color, national origin, age or sex, provided they are qualified and meet the physical requirements established by the University for the job.

The Department of Personnel Services has been assigned the responsibility of ensuring that all phases of staff personnel administration are consistent with the policy of equal employment opportunity. These responsibilities include:

1. Recruitment—effectively locate and encourage the candidacy of qualified men and women, to include minority groups, for all staff vacancies.
2. Selection—ensure that selection follows procedures designed to identify the best qualified candidate without consideration of race, sex, religion or national origin.
3. Placement—The Department of Personnel Services will refer selected applicants to the appropriate supervisor. The best qualified applicant will be referred, and the supervisor may select and recommend for appointment.
4. Training—ensure that qualified employees have an equal opportunity to participate in the University "Tuition Scholarship" program and other training activities.
5. Compensation—ensure equal pay for equal work.

7. Procedure in the Termination of an Appointment by the Institution 36
   a. Adequate Causes 37
   b. Dismissal Procedures 37
   c. Hearing 38
   d. Suspension, Salary, and Notice 41
8. Procedure in Cases of Alleged Violation of Academic Freedom 42

B. Faculty Fringe Benefits 43
1. T.I.A.A. or C.R.E.F. 43
2. Social Security Taxes 44
3. Blue Cross-Blue Shield 44
4. Massachusetts Dental Service Corporation Basic Benefit Plan 44
5. Group Life Insurance 44
6. Total Disability Insurance 45
7. General Liability Insurance 45
8. Travel Accident Coverage 45
9. Travel to Professional Meetings 46
10. Tuition 46

C. Miscellaneous 46
1. Payment of Salaries 46
2. Sabbatical Leaves 47
3. Absence 48
4. Faculty Obligations 48
5. Retirement 49

D. Central Services 49

Example II of Typical Organizational Manual Policy Page

MIAMI-DADE COMMUNITY COLLEGE

MANUAL OF POLICY

TITLE	CRITERIA FOR STAFF REDUCTION	**NUMBER** II-16A
LEGAL AUTHORITY	DISTRICT BOARD OF TRUSTEES MEETING OF SEPTEMBER 11, 1974, STATE BOARD OF EDUCATION REGULATION 6A-8.33 (5)	**PAGE** 1 of 3

DISTRICT BOARD OF TRUSTEES APPROVAL 9/11/74
DATE

POLICY:

The following procedures will be utilized should it be necessary to undertake a staff reduction due to overstaffing in any department, division, area or the entire college:

The General Approach

Should it be determined that an area or campus is overstaffed, the following approach will be used to decide among the present staff who will be retained and who will be terminated.

Faculty and other contracted staff must be viewed as constituting two groups: those on annual contract and those on continuing contract. Annual contract personnel will, except in rare instances, be terminated before those on continuing contract. Within each of the two major groups, time of service will be immaterial to the review.

Evaluation Criteria and Application

1. To select those individuals who are to be considered as surplus staff, each unit of the College must review its personnel by the following criteria, as specified by State Board of Education Regulations, and as here defined.

   A. *Educational Qualifications*—as judged by:

      (1) Written evaluations in regard to performance as a member of the faculty, educational preparation, and professional growth sections of the criteria for academic rank *(Manual of Policy* II-41).

      (2) Such evaluation to be related to the faculty member's present or projected assignment.

   B. *Efficiency in Performance*—as judged by existing written evaluations.

   C. *Compatibility*—defined as support of the community college philosophy and maintaining satisfactory working relationships as evaluated by:

      (1) The immediate administrative supervisor

Document 3-6

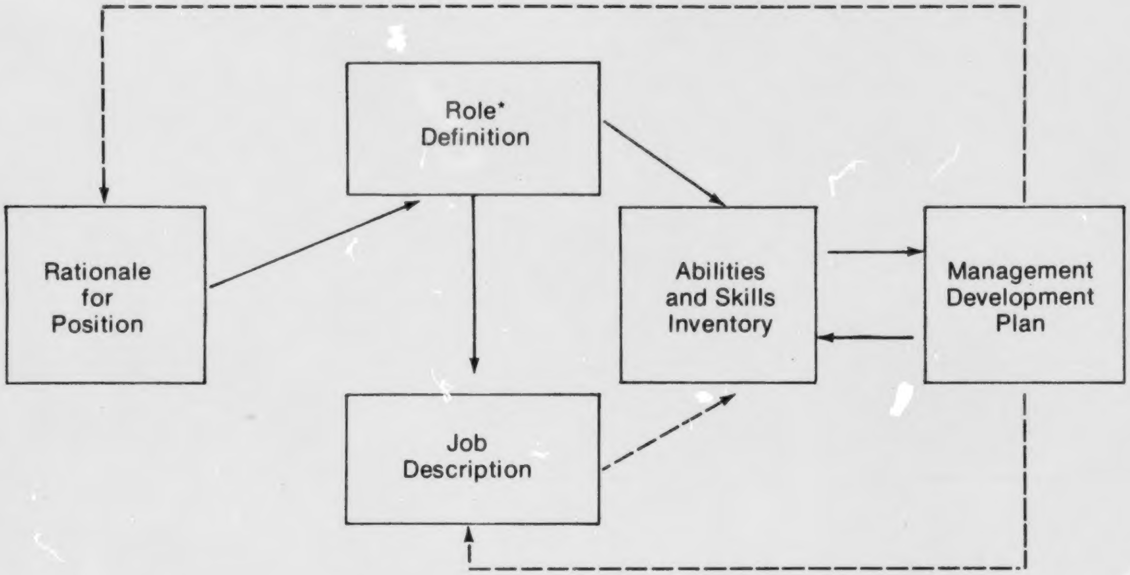
Title: Role Definition

Source: Carol Zion (Miami-Dade Community College, Miami, Florida), based on "Role Definition Training," a presentation made at the CASC/AAHE Conference, "Running Higher Education," February 1977. This material has also appeared in the *Journal of the College and University Personnel Association* 22, (Summer 1977): 5-12.

General Description:

As colleges have increased in size and complexity, bureaucratic structures have been designed to control staff rather than to develop them. Control has been exercised over procedures rather than outcomes. This approach can be disastrous in a no-growth period—regardless of whether or not it was ever effective to begin with.

Professional growth for an administrator involves a clear understanding of his purpose in the institution, awareness of the variety of means for accomplishing that purpose, recognition of the skills and abilities necessary for implementing these means, and opportunities for acquiring or strengthening these skills and abilities. The model for this professional growth process is:



When an emphasis on activities associated with job descriptions predominates, the purpose of those activities is often lost and the organizational role of the individual tends to be obscured. The contrast of role definition and job description has been clearer in the case of faculty than it has been for administrators. For example, a consistent role of the teacher has been to facilitate the students' learning. The activities appropriate to this role have constantly changed. In centuries past, the scholastic who read to his students from a single manuscript was facilitating student learning. In an age of textbooks, multicopy libraries, tapes, etc., this performance is often neither facilitative nor necessary. Yet the activity of reading (lecturing) to students is clung to by many faculty and reinforced by organizational planning and operations such as class schedules, teacher class/student load ratios, facility design, and furniture selection. Lecturing may be viewed as one aspect of a job description that needs to be tested against a role definition for faculty. Administrators, too, need to examine their activities in the context of their organizational role.

---

* What will be accomplished as a result of this position.

Role definitions are emphasized because *role* clarifies the purpose of an individual in an organization, while the *job description* itemizes the activities in which an individual engages to fulfill that role. Activities, related to specific objectives for a given year, may change radically over a short or long period, as objectives change. For example, the *role* of the administrator is to provide and coordinate the resources (human, technical, financial, and physical) that support the educational process. The *activities* associated with such provision and coordination should reflect the students' changing learning needs.

Instructions for Use:

The *rationale* statement is the first step and should answer the question of why this position is necessary; it should justify the existence of the position in the organization. *Role definitions* are broader statements, related to the purpose expressed in the rationale and are the basis for establishing yearly priorities, objectives, and activities. The *job description* deals with activities related to how the role will be carried out in a particular year. Continuity is provided by the role, while activities may or may not be the same from year to year.

It is obvious, then, that in any organizational structure, attention must be paid to the "why" of the position, and a concise rationale for that position should be the basis for developing a role that answers the "why." The rationale for the position of director for the Institute of Criminal Justice at Miami-Dade Community College, North Campus, is a good example of the first step in determining the role for a particular position.

Rationale for Position
of
Director, Institute of Criminal Justice

As a large system within the North Campus' new organizational structure, the Institute of Criminal Justice needs a leader whose primary responsibilities will include the areas of personnel management, planning, follow-up, and evaluation.

In the area of personnel management, the leader, in conjunction with the chairpersons, will be responsible for (a) determining the criteria and qualifications for the hiring of new staff; (b) assigning duties to personnel; (c) determining staff training needs; (d) establishing criteria and objectives for a reward system (salaries, promotions, leaves, support for creative projects, etc.); and (e) determining staff reassignment or termination.

In the area of planning, the leader will assume major responsibility for (a) identifying long and short-range needs; (b) establishing parameters; (c) relating area objectives and priorities to total organization needs; (d) establishing time requirements for the completion of tasks; and (e) providing leadership in program development.

In the area of follow-up, the leader will assume responsibility for (a) implementing performance-based staff evaluation and (b) providing leadership in program evaluation.

Because of the unique nature of the Institute and its community service responsibility, community involvement is essential for fulfilling the role of director. This not only includes continuous interaction and liaison with community agencies, but also involves personal/institutional memberships and personal participation and attendance in civic and criminal justice related activities and organizations.

Because of the importance of the Institute of Criminal Justice within the total campus organization, the leader of the area will also function as a member of the Campus Management Team.

The broad scope of these responsibilities and the diversity of the expertise needed to perform them justify having a director as the chief administrator of the Institute of Criminal Justice.

The following role definition delineates the aspects of personnel management, planning, follow-up, evaluation, and community involvement and was developed from the preceding rationale.

Role Definition for
Director, Institute of Criminal Justice

1. To participate with the Vice President and other deans/directors in a team management approach for the campus.
2. To maintain continuous interaction with the various criminal justice agencies and to be receptive to their needs in order to keep the Institute relevant.
3. To communicate to local agencies and the community national and state trends and policies that would affect the Institute.
4. To serve as a representative of the Vice President on the Institute of Criminal Justice Advisory Committee.
5. To utilize a team management approach within the area and see that all sub-units utilize that approach.
6. To provide leadership for the chairpersons by:
   a. building a cohesive team within the area
   b. calling upon individual expertise to assist in accomplishing the objectives of the area
   c. encouraging participation in community and professional organizations
   d. promoting and supporting innovation.
7. To have responsibility in conjunction with department chairpersons for staff hiring, training, rewards, assignments, evaluation, and reassignment or termination.
8. To establish mechanisms for the continual professional development of staff in the area.
9. To provide continuous assessment of programs and curricula by:
   a. keeping abreast of national, state, and local trends
   b. keeping abreast of available resources
   c. keeping abreast of the sources of funding for special projects
   d. supporting utilization of workshops, consultants, and other available resources.
   e. evaluating all programs within the framework of the Campus and area MBO plan.
10. To utilize the North Campus evaluation system in:
    a. establishing the system of up, down, and horizontal evaluation
    b. evaluating all staff reporting directly to the director
    c. supporting the evaluation of all staff reporting to sub-unit heads.
11. To represent chairpersons' needs to the appropriate administrative level.
12. To recommend to the Vice President internal organizational changes as the need arises.
13. To provide the Vice President with a current data base for decision making (because of the nature of the Institute, information must be communicated regularly).
14. To relate institutional happenings, trends, direction, policies, procedures, and problems to the area chairpersons and staff.
15. To articulate with other areas throughout the North Campus (and other campuses when appropriate) in the development of programs of mutual interest.
16. To utilize support staff throughout the North Campus when applicable.
17. To perform those routine duties required of a director.

It is to be expected that personnel with similar titles (division directors, deans, department chairpersons) will have a "core" role with individualized aspects of their role relating to specific areas. Agreement is needed within each administrative level about what aspects of the role are common to all areas before developing the individualized role. The individualized aspects in the role of the director of the Institute of Criminal Justice are represented in items 2, 3, 4, and 13.

The other items specified for this role are shared with personnel bearing the title of "director." While all directors are responsible for the establishment of mechanisms for the continual professional development of staff in their areas (item 8), the role itself does not specify what such continual professional growth would entail. It does require each director to present a yearly plan (priorities and job description) for carrying out that aspect of the role in a manner that suits the style of the director, the needs of the staff, and the requirements of the area.

Based upon the role definition, an abbreviated job description for 1975-76 for the director of the Institute of Criminal Justice was developed as follows:

1. Attend the Campus Management Team each Wednesday.
2. Creates TOLIP (training officers for liaison and institute planning)—include representatives from each policy department with training responsibility.
   Visit every chief of police and director in the county. Join every group connected with Criminal Justice and Public Administration and participate at meetings.
3. Accept as many local speaking engagements as possible. Attend national professional meetings and teach at other Criminal Justice training facilities in order to bring back information to the Institute.
4. Attend each scheduled meeting of the Institute of Criminal Justice Advisory Committee.
5. Establish planning and decision-making team for the Institute that includes the Office Manager, Program Coordinator, Chairperson of Law Enforcement Training, Chairperson of Habilitation, and Chairperson of Police Science.
9. Review and evaluate those parts of the curriculum that relate to Human Relations and Community Relations.
   Personally chair the curriculum committee to test and revise the Instructor Training Program.
   Teach several hours in every program to increase understanding of its operation.
   Develop programs in absence of area heads who are to be appointed.
12. Review title of area and organizational structure for recommending changes to the Vice President.

The above represent a sample of the priorities established by the new director for the first year. An example of how a job description can change is included under item 9. The director did not intend to personally chair the curriculum committee beyond the first year. If the focus is on the activity and the job description rather than on the role definition, this administrator might be required to chair a curriculum committee year after year even though others could do the job equally well or better and with more success in accomplishing the original purpose. When the focus is on the role definition rather than the activity, then multiple means are sought for accomplishing the goals and objectives and personnel are not tied to any one particular strategy.

Certain skills and abilities are essential if an administrator is to fulfill his/her role. At Miami-Dade North Campus, an abilities and skills inventory was developed, and, while not an exhaustive survey, it touched on some key aspects of administration and some attending abilities and skills.

Each individual does not have to possess all of these abilities, since some skills are of more importance for certain line and staff positions than for others. But taken in the aggregate, each major organizational unit should have all aspects represented and all of these skills and abilities at its disposal. Professional growth for an administrator is acquiring or strengthening particular skills and abilities associated with his/her role or those associated with a role he/she wishes to assume.

Abilities and Skills Inventory

Aspects of Administration	**Abilities & Skills Needed**
1. Needs Assessment	a. A thorough understanding of the organization's goals and aims.
	b. Ability to construct a plan for identification of problems.
	c. Ability to delegate data-gathering duties.
	d. Ability to identify and distinguish between long- and short-range needs.
	e. Ability to clearly identify and validate needs assessment in written report form.
	f. Ability to set parameters for those assigned to above tasks.
2. Planning: Setting Objectives and Priorities	a. Ability to decide upon objective priorities.
	b. Ability to work with other staff in setting of objectives and priorities.
	c. Ability to relate objectives and priorities to total organizational needs.
	d. Ability to set realistic objectives in view of available personnel, cost considerations, etc.
	e. Ability to establish quality and quantity criteria and control specifications in the objectives for the budget.
	f. Ability to prepare budget requirements.
	g. Ability to formulate specific, measurable objectives against which to evaluate progress (flexibility to accommodate any necessary changes).
3. Selecting/Training Personnel	a. Ability to establish criteria for needed personnel in terms of needs assessment and planning objectives.
	b. Ability to interview in terms of above.
	c. Ability to establish roles and responsibilities with new staff.
	d. Ability to discern training needs.
4. Delineating Tasks	a. Ability to develop the rationale of a task.
	b. Ability to set forth specific charge for task.
	c. Ability to establish parameters for task.
	d. Ability to relate task assignments to priority setting.
	e. Ability to estimate time requirements for program.
	f. Ability to establish checkpoints for determining progress of task groups or individuals.

Aspects of Administration	Abilities & Skills Needed
5. Evaluation	a. Ability to gather data and apply it to the improvement of future programs. b. Ability to construct practical evaluation methods to provide data on immediate impact and project a long-range picture. c. Ability to measure program benefits by cost of program. d. Ability to interpret evaluative data for program aspects including: 1. physical facilities 2. reaction of participants 3. follow-through on participants 4. community needs, etc. e. Ability to pre-test consequences of an activity or program. f. Ability to synthesize all of the above into recommendations.
6. Evaluation of People	a. Ability to maintain a problem-solving orientation in working with staff. b. Ability to motivate, convince, and persuade through communication. c. Receptivity to feedback from staff. d. Concern for the specific problems of staff. e. Ability to maintain objectivity by evaluating in terms of accomplishment of objectives and delineated tasks. f. Ability to foster a teamwork approach.

Since professional growth is of a long-term nature, each administrative role needs to be periodically negotiated so that both supervisor and subordinate have a clear understanding of role expectations. If role definitions are to be utilized in performance-based evaluation for all people in management positions, then there needs to be a commitment on the part of the college for supporting individuals in fulfilling these roles.

Document 3-7

Title: Role Specification Form

Source: William H. Bergquist, derived in part from forms presented in D. S. Markwell and T. J. Roberts, *Organisation of Management Development Programmes* (London: Gower Press, 1969)

General Description:

The role specification form is to be used to document an employee's current role in a college or university. The role specification can aid the employee's supervisor in evaluating his performance and can be used to orient the employee's successor to the new role. If possible, these role specification forms should be shared among staff members in an administrative unit, so that they might become more fully aware of the roles played by their colleagues. This form should be periodically reviewed by the employee and supervisor, and revised if necessary.

Instructions for Use:

The role specification form is simple to use if accompanied by the explanatory sheet. The form should be filled out by the subordinate in cooperation with his supervisor.

Role Specification Form: Explanatory Sheet

Item 1: Indicate your name.

Item 2: Give the title of your role if one exists. If one does not exist, it should be formulated at this point. A role title should convey something about the purposes to be filled (whereas a job title conveys something about the activities to be undertaken).

Item 3: A role may change with time in one aspect or another. Record the date when your role specification has been confirmed by both you and your supervisor. If it is changed later in any significant detail, the new date should be recorded.

Items 4-5: Give the role title of the person to whom you are accountable and to whom you report. You may have some additional functional responsibilities to a person in another part of the organization. Indicate this dual accountability if it exists in your case.

Item 6: Give the names and role titles of people whom you supervise. If you supervise a large number of people, indicate the major role titles of your subordinates and the number of subordinates who can be categorized under each title.

Item 7: A role is rarely carried out with success unless one's colleagues are supportive and helpful. Indicate the names and role titles of individuals who are particularly important to you in your current role.

Item 8: Many important work-related relationships exist with individuals outside your college or university. Identify these key individuals by name, institution, and role title. If there are a large number of such people in a specific category, identify the category and the number of people in it.

Item 9: You have the responsibility to produce results in order to achieve the objectives of your role. In your main area of activity, what are the main results to be achieved? What are the key tasks you have to undertake in order to produce these main results? Indicate which expected results are of high, moderate, and low priority.

Item 10: In the achievement of main results, you will need to exert some authority with reference to other people (personnel) and with reference to the expenditure of money (financial). Briefly describe the primary areas in which authority has been delegated to you. This authority may be either formal or informal.

Item 11: Standards of performance are statements of the conditions that will exist when a job is satisfactorily completed. It may help you to arrive at a clear statement if you frame the statement in the following terms: "Performance will be up to standard when. . . ."

Item 12: Your supervisor has delegated responsibilities to you, but he has to keep aware of the quality of your performance, with specific reference to agreed-upon objectives. The mechanisms by which this review can take place may be direct or indirect. Each type of review mechanism can yield valuable information about your performance. Identify the review mechanisms that are applicable to your role.

Item 13: Each role has its own unique requirements in terms of skills, knowledge, or attitudes. Your role is in part defined by these skills, knowledge, and attitudes. Identify those role-related requirements that are unique and necessary for you to fill the role adequately.

Item 14: In defining the nature and function of your role, its sources of satisfaction for you indicate something of the motivational base of the role. Identify those aspects of the role that relate specifically to the job(s) being performed, the interpersonal and organizational contacts, and/or the rewards and incentives that are associated with the role.

Role Specification Form

1. Name: ______________________________
2. Role Title: ______________________________
3. Date of Agreement about Current Role Specification: ______________
4. Person to Whom You Are Immediately Accountable: ______________
____
5. Role Title of Person to Whom You Are Accountable: ______________
____
6. People Who Are Your Immediate Subordinates:

	Name	Role Title
a.		
b.		
c.		
d.		
e.		

7. People Who Are Your Immediate Colleagues:

	Name	Role Title
a.		
b.		
c.		
d.		

8. Major Relationships with People from Other Institutions:

Name Institution Role Title

a.

b.

c.

d.

e.

9. List the Specific Results for Which You are Accountable:

High Priority Results:

a.

b.

c.

d.

Moderate Priority Results:

a.

b.

c.

d.

Low Priority Results

a.

b.

c.

d.

10. Areas in Which You Exert Authority:

Personnel:

a.

b.

c.

d.

Financial:

a. ______________________________

b. ______________________________

c. ______________________________

d. ______________________________

11. Standards of Performance (conditions that will exist when your job is satisfactorily performed or completed):

Quantitative Standards (how much):

a. ______________________________

b. ______________________________

c. ______________________________

d. ______________________________

Qualitative Standards (how well):

a. ______________________________

b. ______________________________

c. ______________________________

d. ______________________________

Procedural Standards (in what manner):

a. ______________________________

b. ______________________________

c. ______________________________

d. ______________________________

Temporal Standards (by what time):

a. ______________________________

b. ______________________________

c. ______________________________

d. ______________________________

Unique Standards:

a. ______

b. ______

c. ______

d. ______

12. Review Mechanisms (means by which your performance is evaluated):

Direct Review (inspection of work):

a. ______

b. ______

c. ______

Indirect Review (financial):

a. ______

b. ______

c. ______

Indirect Review (information from other people):

a. ______

b. ______

c. ______

Indirect Review (observation by other people):

a. ______

b. ______

c. ______

Other Review Procedures:

a. ______

b. ______

c. ______

13. What specific skills, knowledge, or attitudes must one possess to fill this role?

Skills:

a. ______________________________

b. ______________________________

c. ______________________________

d. ______________________________

Knowledge:

a. ______________________________

b. ______________________________

c. ______________________________

d. ______________________________

Attitudes:

a. ______________________________

b. ______________________________

c. ______________________________

d. ______________________________

14. What do you find to be the most satisfying aspects of this role?

Job-Related:

a. ______________________________

b. ______________________________

Interpersonal/Organizational:

a. ______________________________

b. ______________________________

Rewards/Incentives:

a. ______________________________

b. ______________________________

110

Document 3-8

Title: Position Description Format

Source: Benjamin E. Sprunger

General Description and Instructions:

Position descriptions are helpful tools in assigning duties and responsibilities, delineating scope of authority, setting forth conditions of employment, and establishing a basis for performance standards and evaluation. Generally, individual position descriptions are drawn up for all administrative and supervisory staff positions. For secretarial, clerical, and custodial levels, it is generally acceptable to draw a common position description for each of these lower levels. Position descriptions can also be a valuable aid in recruitment.

Position descriptions should include but need not be limited to: (1) title of the position, (2) effective date, (3) name of the person, (4) department, division in which this position is placed, (5) general description or summary of what is involved in this position—its importance, purpose, and responsibilities, (6) expected standards of achievement and performance, (7) specific duties, authority, and accountability, (8) organizational reporting relationships, and (9) conditions of employment and evaluation. (See Chapters 3 and 4 for additional discussion on position descriptions.)

A sample format for a position description follows. It can be used as is or modified to fit specific institutional needs. Also following the sample format are two typical job descriptions. The first one, for the office of development, closely follows the sample format. The second description for an admissions counselor follows a slightly different format.

Position Description

(Typical Format)

Title: Date:

Name:

Division:

Job Summary:

Goals:

(This job exists to accomplish what?)

Duties:

(Activities necessary to accomplish the above are?)
(What responsibility and authority are required?)

Organizational Reporting:

(Who is the supervisory officer, who does this person supervise, who is responsible in the absence of this person? Include titles.)

Conditions of Employment:

(Statement(s) on benefits, fringes, vacations, full-time, part-time, salary, evaluations and criteria, etc.)

Exemplar College
Position Description

Title: Vice-President for Development and Public Affairs July 1, 1978
Name: Dr. Richard Jones
Division: Division of Development and Public Affairs

Job Summary: The Director of Development and Public Affairs is responsible for the overall operation, management, and promotion of programs of voluntary support (fund raising, gifts, and grants) and public relations (promoting the good image of the college and relations within and among the college's publics, including but not limited to community, donors, business, industry, foundations, alumni, supporting constituents, parents, and students).

Goals:

1. Obtain voluntary financial support as established by the yearly college budget.
2. Develop, establish, and maintain an integrated public relations program that accurately communicates what the college's mission is and ensures the public's positive response to the college.
3. Establish alternative programs and methods of securing financial funds.
4. Maintain an effective public information program.

Duties:

1. Secure and train, assign, and supervise such staff as is necessary and within the budget to carry out the programs.
2. Prepare, submit, monitor, and control budget in conjunction with the financial officer for the development and public affairs department.
3. Establish and refine funding programs in order to systematically tabulate sources of giving from the college's various constituencies.
4. Present the college's needs to philanthropic organizations and individuals, to industrial and commercial corporations, to the constituencies, and to other prospective donors.
5. Maintain an active and supportive alumni association.
6. Develop and maintain programs to involve the voluntary human resources of individuals from various constituencies.
7. Assist and be responsible for encouraging and coordinating requests for research and foundation grants.
8. Establish long-range program in the area of special gifts, wills, bequests, estate planning, and current fund giving needs.
9. Develop and maintain continuing patterns of public relations through news releases, feature articles, TV and radio programs, alumni magazine, and other media.
10. Develop and maintain programs that will mutually benefit the supporting constituency and the college.

Organizational Reporting. The Director of Development and Public Affairs reports directly to the President. In the absence or disability of the director, the Associate Director of Development and Public Affairs is responsible.

The director does not hold academic rank but has voting privileges in the faculty meetings.

Conditions of Employment. Salary and benefits are equivalent to other administrative officers. Contracts are for a 12-month period with 20 days of vacation and holidays as declared by the college. A vehicle will be furnished by the college for the director's use. Care and maintenance of the vehicle shall be the director's responsibility. All personal mileage will be at the director's expense. Evaluation of job performance and contractual continuation, modification, or discontinuance will be made prior to April 1. This position does not accrue tenure.

McPherson
College
DISCOVER THE WORLD WITHIN YOU

From the desk of

Joe R. Johnston
DIRECTOR OF ADMISSIONS

McPherson, Kansas 67460 • Phone (316) 241-0731

Reprinted with permission

Job Description: Admissions Counselor

Summary

The Admissions Officer's task is to serve as a catalyst to expose prospective students to all elements of the college community. Through such exposure, prospective students can get the meaningful answers to their college decision questions. The enthusiastic alumnus, the campus facilities, the professors, the students, the campus tour guide, the community—the people of the college—"sell" the college. The Admissions Counselor is one of the salespeople.

The McPherson College admissions communication process includes:

The *Inquiry Program:*	Objective is to create *awareness* and *inquisitiveness* about McPherson College toward producing an inquiry from a *bona fide* prospect;
The *Pre-Application Program:*	Objective is to arouse *interest* and *stimulate prospect to act* (submit application);
The *Post-Application Program:*	Objective is to *sustain the commitment* of those applicants accepted and produce an enrolled student.

The McPherson College Admissions Counselor:

I. *Reports* to: Director of Admissions

II. Has as his/her *objective:*
   Enroll the expected number of students to the mutual benefit of both the student and McPherson College.

III. Has specific *responsibilities* in:
   Inquiry Program:
   A. Making group presentations.
   B. Obtaining referrals.
   C. Reporting market needs and recommending means to improve our competitive position.

   Pre-Application Program:
   A. Directly confronting inquiring prospective student and persons influential in his/her college decision.
   B. Asking for application commitment.

   Post-Application Program:
   A. Personally reinforcing applicant's commitment.
   B. Obtaining and recommending reinforcements needed.

IV. *Travels* extensively within designated market areas to meet the objectives and responsibilities of II and III.

V. Is under 12-month salary *contract* . . . one month vacation (computed as 20 working days with anniversary date being January 1);

VI. Is advanced *travel expense* monies . . . expense reports submitted monthly.

VII. Is included in college community fringe *benefits* . . . Blue Cross/Blue Shield Group Medical Insurance – Life Insurance Policy – Family Tuition Discount.

Staffing

The best executive is the one who has enough sense to pick good men to do what needs to be done, and self-restraint enough to keep from meddling with them while they do it.

Theodore Roosevelt

Experienced administrators know that personnel selection, placement, and morale are indispensable elements in achieving goals. Some would even say that good managers are more important than good planning or organization: with good managers, other administrative activities fall into place. Certainly the skills and attitudes of the people with whom one works directly influence success in implementing programs that are designed to move the institution towards specific goals. For this reason it is rare that a college administrator can work effectively in isolation from colleagues and subordinates. Thus, the recruitment and selection of new employees become central to the successful performance of any college administrator.

Unlike a business organization, most colleges and universities do not have a centralized personnel office that is specifically assigned the task of hiring all or most of the institution's employees. Nor have many colleges and universities taken advantage of consultants who specialize in the identification and recruitment of faculty and high-level administrators. Instead, these responsibilities are usually assumed by one or more administrators who occupy a key position in the organization. But not even they have sole responsibility over this important function, for most of the tasks associated with personnel identification , recruitment, and selection are performed by committees. Responsibilities for staffing and employing have become even more diffused and confused due to the complexity, legal standing, and ambiguity of affirmative action regulations. In this chapter we hope to bring greater clarity to the staffing and employing function and to assist those who are responsible for it.

We begin by describing several important ingredients of an effective recruitment and selection process. The discussion focuses on five steps: (1) personnel planning and forecasting, (2) formulating job specifications and a position description, (3) locating individuals who fit these specifications, (4) assessing applicants against the specifications and selecting a final candidate, and (5) selling the final candidate on the job. Throughout we emphasize the importance of affirmative action and other regulations.

Then we deal with some personnel and staffing practices and problems common on the college or university campus: the indispensable person problem, promotion, compensation, tenure, affirmative action, grievance procedures, and termination.

PERSONNEL SELECTION

Planning and Forecasting

Whether a college or university is developing new objectives and programs as a result of long-range planning or because of budgetary constraints, the administrator is under constant pressure to obtain maximum results from scarce resources. He must hire wisely and use his personnel effectively, and this keeps the need for personnel planning and forecasting in sharp focus. An important element of this process is the continual analysis of the performance of faculty and staff—particularly staff. Changing technology, equipment, and programs tend to make staff functions dynamic rather than static. Consequently, administrators need to monitor staff work continually. This will aid them in increasing efficiency, ensuring maximum utilization of resources, and obtaining information for planning and forecasting and for preparing job specifications and descriptions. (For further discussion of job analysis and performance appraisals, see Chapters 5 and 6 respectively.)

Personnel planning begins with a broad vision of how adequately the institution is currently functioning, what new goals and programs are being projected, and what external pressures may require changes in staff composition and hiring practices. More specifically, personnel planning and forecasting should incorporate information about the institution's mission, goals, and new program plans; its reorganizational needs; its reduction or retrenchment needs; economic assumptions; changes or potential changes in the available student pool or market demands; recently enacted or pending federal and state legislation; changing demands and needs of supporting constituencies; and promotion potential, retirement schedule, and tenure status of faculty and staff.

In the day-to-day rush of events, administrators often overlook the need for careful planning and forecasting—or even deliberately avoid this area of personnel management. It may not seem important until a significant problem arises, but by then it's too late. Forecasts are useless when the student/faculty ratio has declined past the point where the budget can support it, or enrollment has fallen off drastically in tenured-in departments, or reorganization plans are stalemated because of staff configurations.

During periods of reduction or no growth, personnel forecasting is at the heart of good planning and administration. Faculty and staff are less mobile, and this in turn leads to reduced institutional flexibility and an increasing percentage of faculty with tenure. Todd Furniss, in a discussion of steady-state staffing in tenure-granting institutions, provides a planning chart that may be helpful in analyzing the effects of personnel, tenure, and retirement policies.[1] (See *Document 4-1.*)

The president and the senior administrative team are accountable not only for auditing faculty and staff productivity and future needs but also for insuring institutional flexibility. While personnel mismanagement usually does not result in legal action against administrators, the effect on institutional flexibility can be as debilitating as bad financial management. In most situations, personnel decisions affect financial and institutional flexibility more than any other factor.

Job Specifications

When a new position is created or an existing position becomes vacant, job specifications must be drawn up before the vacancy is announced and candidates are interviewed. A job specification document lists the characteristics, abilities, experiences, and skills needed for the duties, responsibilities, and authority of the position. Announcements of the position should be based on this document. Job specifications are most helpful in evaluating candidates' credentials and their responses during interviews. The job specification document should include an accurate and descriptive title, an outline of the scope of activities, a description of duties, a statement of responsibilities and authority, a statement of expectations for the candidate (which are not necessarily the same as they were for the previous jobholder), a description of the new jobholder's relationships with other people within and outside the organization, and previous experience and skills required.

The search committee and employing officers should be as specific as possible about any desired personal characteristics. A vague description of personal characteristics can leave so much room for interpretation that the institution may find it impossible to prove that it has not discriminated, and this is a charge that disappointed applicants may bring against the most innocent of institutions.

The person who fills the position must be able to work productively and compatibly with other people in related positions in the institution. Harold S. Hook of Main Event Management ® proposes a formula:

job = person + situation + others

to convey this critical interaction.[2] People are not themselves successes or failures. They either get the job done or they don't, but success or failure can have as much to do with the working situation as it does with the talents and efforts of the worker. Thus, it is not only the specific requirements of the job that must be considered but also the situation in which the person will work—the human as well as the physical factors.

What is expected of the person who fills the vacancy? This is perhaps the most important element of any job specification document and also the most difficult. Take, for example, Exemplar College, a hypothetical institution that lost its academic dean when he retired after fifteen years. How did they go about replacing him? First the president of Exemplar appointed a search committee composed of two faculty, two administrators (director of admissions and dean of students) and one student. This committee decided to begin by identifying the characteristics of the person who they would like to see fill the position. They consulted the retiring dean to get a sense of what he thought were the appropriate skills and attitudes for an academic dean. The committee then met with representatives of the faculty to gain their views. After that, they developed a list of ten desirable characteristics of a new dean, and the search began.

This is a good first step in the recruitment process, but the committee failed to take into consideration the current setting in which the new dean will work. For example, the committee might have formulated a series of characteristics that differed radically from those of the retiring dean. Or, opting for comfort, they might have identified characteristics that described him precisely. Either alternative could cause problems. The first could lead to the selection of a dean who is incompatible with his subordinates and peers, who either were selected by the former dean or have adjusted their working styles to accommodate his. The second alternative may disappoint members of the faculty and administration who were hoping the institution would change under new leadership. It could also create a problem for the new dean. No person can exactly replace another, and to try to force the new jobholder into the mold of his predecessor could result in serious personnel problems.

> *"Forecasts are useless when the student/faculty ratio has declined past the point where the budget can support it, or enrollment has fallen off drastically in tenured-in departments."*

The search committee at Exemplar should have spent some time identifying and describing the characteristics of people who will be at the college when the new dean arrives. If the decision-making role of the new dean is critical, then it might be appropriate to assess by interview or questionnaire the decision-making styles of the people who will work closely with him. If the decision-making style of his co-workers is authoritarian, then the search committee might want to avoid an applicant with a *laissez faire* attitude even if members of the committee prefer this style. If, for other reasons, a new dean is selected whose decision-making style is incompatible with that of his future colleagues, at least the leaders of Exemplar College will be aware of the problem and can be prepared to deal with it. Similarly, the committee might assess other critical functions such as planning and organizing skills of current staff. Once they have identified areas where the staff lack important skills or experiences, they might look for these qualities in the applicants for the deanship.

> *"The costs–in human misery as well as time and money–of unsatisfactory recruitment and selection processes far outweigh the costs of an extended search procedure."*

Obviously, time and money constraints prevent a search committee from fully engaging in this type of extended job assessment. But the costs—in human misery as well as time and money—of unsatisfactory recruitment and selection processes far outweigh the costs of an extended search procedure. Furthermore, developing an extended job specification that describes the people and situations the new jobholder will face is itself a valuable exercise even if it does not significantly influence the selection process.

Another advantage of developing job specifications is that the new jobholder can use the collected information to familiarize himself with the institution and his future colleagues. They in turn may become more sensitive to the ways in which they can work most effectively with him. It is important, however, not to build too many expectations. If everyone expects the new person to solve all problems, disappointment will be inevitable.

The leaders of the institution may also want to use the occasion of a major appointment as a time for institutional reexamination and recommitment. The new data from the extended job specification can be a valuable part of this renewal process, although it is important that the new administrator "make haste slowly." He should take plenty of time to study existing situations carefully before he begins to make changes.

In developing a job specification, it is important to remember that the person selected must not only be *able* to perform the job (competency criterion), but also be *willing* to do it (interest criterion). Administrators look for employees they can count on not only for their abilities but also for their intentions. Unfortunately it is easier to assess an applicant's competency than to assess his interests with reference to a specific job. This is partly because his interest will depend to some extent on the human and physical environment of the job. As Dunnette, Campbell, and their associates have shown in their extensive studies of managerial behavior, the specific functions that are performed by any manager are determined only in part by the demands of the job.[3] Managerial behavior is determined also by the individual characteristics of the manager as he interacts with other people within the work setting. Hook's job specification formula speaks to the same issue. The new dean at Exemplar College will find the job interesting not only because of its inherent challenges and gratifications but also because of the working conditions and his relationships with colleagues.

How do we measure the potential effect on job performance of the interactions between people and environments? One approach is to initiate an extended job specification procedure as described above. The *critical incident technique* is a second approach.[4] In this technique, several critical incidents in the job are identified, and each applicant's potential reactions to these incidents are assessed. The critical incident technique is used widely in various organizational settings as a problem-solving tool. It involves the collection of observed "incidents" that have special significance and meet systematically-defined criteria. (See *Document 4-2* for a detailed description of this technique.)

Finally, a well-planned affirmative action plan will have a healthy effect on the job specifications throughout an institution by discouraging unnecessary narrowing or inflation of qualifications. For instance, it may have been the tradition in the past to look for applicants who were alumni of a certain group of colleges. If these colleges have not historically included minorities, this practice may have a discriminatory impact. An affirmative action plan would require that this limitation on applicants be reexamined and discarded if it served no legitimate purpose.

Position Descriptions

Although there are many similarities between job specifications and position descriptions, there are also some differences that should be mentioned. A job specification defines and lists sought-after skills, experiences, and characteristics. It is the document that is produced after job analysis is completed, and it is the primary source document used in hiring activities and in writing the position description. The position description, which is based on the job specifications, becomes part of contractual documents and is included in the organizational manual.

The position description usually includes the following elements: effective date, title, name of the person appointed to the position, division in which the position is located, goals of the position (specific ends for which it exists), duties (activities, responsibilities, and authority), the person to whom the jobholder reports in the organizational structure, and conditions of employment (such as fringe benefits and vacations). An important reason for developing the job specifications and position description is that these documents can then be used to create performance standards, which are used as evaluative tools. (See Chapter 6.)

Many administrators find it helpful to write a preliminary position description at the same time that job specifications are drawn up. The final position description, as well as standards of performance, is written either immediately before the candidate is offered the job (and is part of the agreement of employment) or shortly after he is hired. The ideal candidate probably does not exist, and because the person-job overlay (how the person fits the job) is never perfect, it is a good idea to wait until after the applicant has been hired to complete the position description and standards of performance. It is common for the administrator and the candidate to write these documents together so that they can negotiate differences. (See *Document 4-3*). Position descriptions and standards of performance are usually reviewed annually to reflect changing assignments, responsibilities, authority, and levels of expected performance.

Locating Applicants

A series of questions should initiate the actual recruitment process. First, are only in-house candidates going to be considered? If not, will in-house candidates be given special preference? Second, are only outside candidates going to be considered; if not, will they be given preferential treatment? Third, how will the vacancy be publicized on campus and off campus, and how will the advertisement be worded? Fourth, how will this selection and recruitment process comply with the institution's affirmative action plans, other institutional policies, and governmental regulations?[5] The location and recruitment of the applicant pool is the most important part of an effective affirmative action plan; if minorities are not reached at this point, they will not be represented on the work force without some conscious manipulation elsewhere in the process, which may itself be discriminatory and illegal. But if they are reached, they will be represented.

The process of locating applicants involves six activities: determining and identifying the populations that will be the focus of a recruitment effort; designing a procedure for advertising the job opening; writing an appropriate announcement for each recruitment population; checking the population, procedures, and advertising copy against appropriate affirmative action guidelines; distributing advertising copy; and assessing job inquiries. If a specific population of candidates has not been responsive, then the first three operations must be reexamined and modified. If the desired populations have responded as expected, then the recruitment process can be drawn to a close—although it can be reopened if the final candidates are not sufficiently qualified.

When not enough time is spent completing the initial job specifications and description, the identification and recruitment of potential applicants is often difficult. The problems at this step have been compounded for most college administrators because of the complex and often contradictory regulations associated with affirmative action, and because many administrators do not know where and how to recruit minority applicants. (See *Documents 4-5* and *4-11.)*

Another problem often encountered at both this point in the recruitment process and at the point of selection is the failure to assign priorities to various job qualifications and personal characteristics for the new jobholder. After developing rich and detailed job specifications and position descriptions, those conducting the search must realize that few job applicants will meet all of the conditions. A person who is fully qualified may not take the job because he is looking for a job that is bigger than the one he holds. On the other hand, an applicant looking for a job that fits comfortably may be more concerned with security than with professional growth and stimulation. This type of applicant is rarely effective in nonroutine positions.

There is a need, then, to define priorities. Which characteristics are essential to successful performance of this job? Which characteristics are desirable but not essential? In most cases, priorities can be defined only after qualifications of the applicants have been reviewed. Unfortunately, many administrators do not establish priorities, and so, failing to find the perfect person, they begin a new and often quixotic search. In some instances, of course, the recruitment process has been inadequate and no sufficiently qualified person has appeared. But more often the administrator's failure to set priorities is to blame.

Before beginning the recruitment process, the administrator should determine if his expectations are realistic by answering the following questions:

1. Why would a person who is fully qualified for this job take it? What incentives can be offered for the candidate's professional growth? How long would the candidate stay in the job? What if he were content in this job?
2. What would we do if a person is found who is actually fully qualified? Would it be desirable to recruit him for a higher position, for which he is not fully qualified? Would he be a threat to my own job or the job of people to whom he reports?

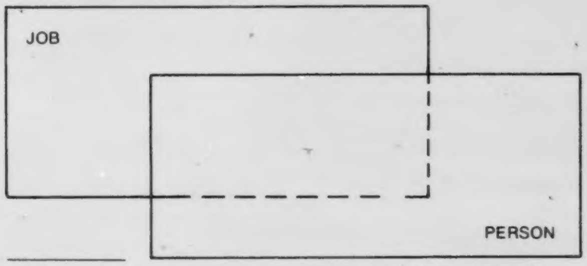
Successful completion of the recruitment-selection process sets the stage for screening and selection.

Assessment of Applicants

In the selection of a person for a job, the applicant's qualifications are compared with job specifications. A Main Event Management model entitled "person-job overlay" represents this process symbolically (Figure 4-1).

FIGURE 4-1

Person-Job Overlay*



---

*Harold Hook, Model 76, "Person-Job Overlay," *MODEL-NETICS Course Book*, 1971-72 (Sacramento, Calif.: Main Event Management Corporation®).

The two rectangles should partially overlap. That is, the jobholder should possess most of the characteristics appropriate to the job, but there should be room for him to grow. An exact person-job overlay is not desirable, and in almost any organization when the two rectangles completely overlap, it is time for the person to move on to a new job.[6]

How does one determine the desired extent of the person-job overlay? In industrial organizations this assessment has been increasingly done through the use of psychometric devices (personality inventories, aptitude tests, performance tests, and so forth.)[7] For middle- and higher-level administrative positions in higher education, reliance on these paper-and-pencil instruments is neither appropriate nor feasible. And recent judicial and legislative reviews concerning the discriminatory biases in these instruments make their use even more inadvisable.

The initial screening of candidates can be done by reviewing vitae and job applications. A well-designed application form (see *Document 4-6*) is very useful at this point and can significantly reduce the hours needed to identify the most promising applicants although, of course, no application form can replace the on-campus interview. Supplemental information on the candidate can be obtained by talking to his references and others who know him and his work.

The interview is probably the most important step in the selection process, and the manner in which it is conducted is critical to the success of the recruitment-selection process. If the interview is a half-hour chat, it will be of little use to either the college or the applicant. A final applicant for any significant job should be independently interviewed by key administrators, faculty, and appropriate committees, and each interview should take at least one hour. This means that no more than four or five final applicants should be interviewed. Some of the most notable failures in the selection of candidates begin with the decision to bring ten or twelve candidates in for interviews over a two-day period. The interviewers are soon exhausted and too overloaded with impressions to assess the qualifications of any of the candidates.

Before the interview the interviewer should decide what he wants to learn about the candidate. Harold Hook suggests five types of information: jobs the candidate has held and jobs he sees for himself in the future; candidate's attitude and experience with others—superiors, peers, and subordinates; candidate's perception of organizations he has been with—positive or negative attitude and why; and candidate's past compensation record.[8] Hook's five categories of information seem to provide insight into the potential interactions between the candidate and his future colleagues.

Other types of interviews attempt to elicit information about a candidate's past failures and problems. In this way the interviewer may avoid hiring someone who will be an outright failure, but he will not learn much information to help him select an incumbent who will be exceptional or at least modestly successful in the new job. It is essential, therefore, that the recruitment-selection process be oriented toward success rather than avoidance of failure.[9]

Recent legislation, regulations, and court decisions have influenced the questions an interviewer can ask. (See Figure 4-2.)

FIGURE 4-2

Guidelines for Interview Questions*

Subject	Can Do or Ask	Cannot Do or Ask
Sex	Notice appearance.	Make comments or notes unless sex is a [bona fide occupational qualification].
Marital status	Status after hiring, for insurance purposes.	Are you married? Single? Divorced? Engaged? Living with anyone? Do you see your ex-spouse?
Children	Numbers and ages of children after hiring, for insurance purposes.	Do you have children at home? How old? Who cares for them? Do you plan more children?
Physical data	Explain manual labor, lifting, other requirements of the job. Show how it is performed. Require physical exercise.	How tall are you? How heavy?
Criminal record	If security clearance is necessary, can be done prior to employment.	Have you ever been arrested, convicted or spent time in jail?
Military status	Are you a veteran? Why not? Any job-related experience?	What type of discharge do you have? What branch did you serve in?
Age	Age after hiring. "Are you over 18?"	How old are you? Estimate age.
Housing	If you have no phone, how can we reach you?	Do you own your home? Do you rent? Do you live in an apartment or a house?

* From *Managing Organizations* by William D. Brinckloe and Mary T. Coughlin, page 357. Copyright © 1977 by Benziger Bruce & Glencoe, Inc. Used with permission of Macmillan Publishing Co., Inc.

Except for these guidelines, the interviewer need not limit the scope of the interview. He can pursue any new or unexpected line of inquiry that is relevant to the task of assessing job-related competencies and interests. For example, a candidate should be allowed to air his pet grievances or expand on his world views. The interviewer should also inquire into areas of potential strength, for it is not the sole responsibility of the candidate to identify and communicate his strengths (skills, experiences, attitudes) with reference to the job. The interviewer should already have a good idea of the candidate's abilities from his vitae and references and should encourage him to elaborate on them.

There are several techniques that can be used during an interview. For example, the interviewer can make frequent use of the *paraphrasing technique*—restating in his own words what he thinks the other person has said. Paraphrasing is useful not only as a means of ensuring that the interviewer has understood what the candidate said, but also as a means of testing the boundaries of the candidate's attitudes and perceptions. The interviewer can attempt to interpret what he believes the candidate has said by offering an example:

> *Candidate*: I believe that secretarial and clerical staff should be closely supervised.
>
> *Interviewer*: Would you ask your secretary to keep an hourly log of her activities? Would you review this log with her on a daily basis?

Or the interviewer might explore the candidate's stance on a specific issue by restating it in terms of a general principle:

> *Candidate*: I don't mind if members of my staff are late to work.
>
> *Interviewer:* Do you believe that staff members should have general and significant control over their working conditions—at least to the extent that they do not interfere with the work of their colleagues?

One function of the interview is to assess the way in which a candidate would actually respond under complex and stressful conditions. The interview itself is a stressful situation, and the way a candidate answers a difficult question may reveal more about his problem-solving techniques than his answer does. Does he ask for clarification of complex questions or does he leap to conclusions? Does the interviewer feel comfortable talking to the candidate? Does the candidate ask questions and offer information or merely passively respond? The interpersonal skills of the candidate are often reflected in how the interviewer feels about him after the interview.

Some selection specialists advocate a "stress interview" during which the candidate is interrupted or criticized, or the conversation is allowed to drop off into long periods of silence.[10] But this does not seem to be a productive way to deal with a prospective employee, and the information derived from this method will probably be distorted. Such a procedure would make even the perfectly qualified candidate nervous and defensive and might alienate him from both the interviewer and the institution.

A *simulation* that tests the candidate's reactions under artificial but realistic conditions may be more useful. This approach need not depart radically from the interview procedure. A critical incident, for example, can be simulated in an easy and natural manner during the interview. Instead of asking the candidate how he would react to a particular interpersonal situation, the interviewer can briefly describe the situation and then assume the role of the person with whom the prospective jobholder would have to deal. For five or ten minutes the candidate would play out the situation as if he were actually on the job. Afterwards he would be encouraged to describe what he wanted to accomplish during the simulation. This technique is particularly valuable if the candidate is not highly articulate about his interpersonal strategies but is skillful in using them.

An *in-basket simulation* can be used to test job performance in noninterpersonal situations. A candidate for the Exemplar College deanship, for instance, might be asked to read several brief faculty proposals for innovative programs and comment on or evaluate them. His reactions to the proposals would reveal much about his educational philosophy, as well as his ability to analyze the work of faculty fairly and criticize it constructively. In-basket techniques also include asking candidates for an administrative assistant position to edit and expand the rough draft of a proposal or asking candidates for director of admissions to write responses to several letters from parents or potential students.

A full-blown simulation may be valuable, especially in the selection of a candidate for a demanding and highly sensitive job. A potential dean of students, for example, might be asked to work with a group of students in solving a hypothetical campus problem. His performance in this actual situation might be much more revealing than an interview, letters of recommendation, or vitae.

Selection of Final Candidate

No interview, however skillful, will eliminate the most difficult and stressful step of the recruitment-selection process—the final selection of the person who will be offered the job. At this point if there were flaws in the recruitment-selection process, it will become obvious and may even block the selection of a final candidate.

In describing the selection process for department chairmen, Tony A. Mobley identifies six selection methods appropriate to most administrative positions.[11] First, the administrator who will supervise the person to be hired can make the final selection. This is the most common method, but it provides no means for participation by co-workers and subordinates of the new incumbent. In the second method the supervisor confers with associates and subordinates before making his selection. This method can be frustrating for everyone if the supervisor and the people he consults are unable to reach consensus. In the third method the supervisor appoints a selection committee, which screens candidates and recommends three to five for consideration. The supervisor then chooses the candidate who will be hired. This method has the advantage of allowing participation by staff while giving the supervisor the final selection. It is essential, however, that the committee members represent the diverse interests of those who will work with or under the new jobholder, and that the supervisor trust their recommendations. In the fourth method, a variation on the third, the selection committee is appointed by the new jobholder's associates rather than the supervisor, but the supervisor still makes the final decision.

> *"The critical incident technique is used widely in various organizational settings as a problem-solving tool. It involves the collection of observed 'incidents' that have special significance."*

In the fifth method, selection of the incumbent is made by his future associates, with the supervisor having veto power. This procedure is most effective when the person to be hired plays a key governance or decision-making role, especially in a professionally-oriented unit of the institution (the academic department, for example, or the counseling office). It is least appropriate if the new employee will serve primarily as a manager in a nonprofessional unit (for example, manager of the bookstore or director of food services). The final method is even more democratic. The committee selects the incumbent, and the supervisor has no veto power. This method is also most appropriate when the new jobholder will hold a decision-making role in a professionally-oriented division of the organization.

Several other methods are common or appropriate in higher educational institutions. The selection decision can be made by an outside group (e.g., representatives of the community, the church, or the profession) that is significantly involved in the welfare of the institution and can offer a broad perspective and a degree of objectivity. Or the decision can be made by a consultant who is knowledgeable about the institution and the job but has no personal investment in the decision. High-level selection decisions can also be (and often are) made by members of the board of trustees. Finally, the current jobholder can make the selection. For example, a retiring president of a college often chooses his successor, either implicitly or explicitly. Harry Levinson argues persuasively against this method.[12] The jobholder who is leaving tends to look to the past rather than to the future and is therefore likely to choose a successor qualified to deal with past rather than present or future problems. And although the president may have been a success, his colleagues are usually better able to identify the qualities that made him successful than he he is. Consequently he is not the best qualified person to determine the qualities needed in his successor.

The criteria for selection of a new administrator vary widely depending on the job, the institution, and the environment (physical and human) in which the jobholder will be working. As noted earlier, effective selection involves sensitivity to such factors as the interaction between the jobholder, his co-workers, and the environment in which the job will be performed. Nevertheless, there are at least six qualities that are almost always important in the selection of administrative personnel. They are leadership, integrity, intelligence, ability to analyze, communication skills, and organizational compatibility. We discuss each of these characteristics below and suggest several ways to measure them.

Leadership, the most obvious characteristic of an effective administration, is probably the hardest to measure. It is a "real-time" activity that can only be observed firsthand or assessed indirectly from an administrator's past record. There are also paper-and-pencil tests, such as the leadership scales published by Telemetrics (Conroe, Texas), but most of these scales are not designed for selection purposes and may not be valid when used in this manner. Small group simulations—in which the candidate is asked to work with others on a real problem (see *Document 5-3*)—may be appropriate (although they are rarely used) as measures of leadership style and even competence. In most instances a well-planned interview yields the most valid and useful information about leadership style and skill, but this information should be confirmed by other sources.

Integrity, like leadership, is difficult to define and measure. Certainly, honesty in financial and personnel practices is essential, but integrity is more than honesty. Because a senior administrator cannot delegate away accountability, he is responsible for everything his subordinates do—their indiscretions, mistakes, dishonesty, marginal performance, withholding of information, or disloyalty. Delegation does not relieve him of this accountability.

> *"The location and recruitment of the applicant pool is the most important part of an effective affirmative action plan; if minorities are not reached at this point, they will not be represented on the work force without some conscious manipulation elsewhere."*

A prospective candidate's subordinates and close acquaintances are probably the best sources of information about his integrity. If these people are convinced that a poor match between the applicant and the job will be a disservice to both the candidate and the hiring institution, they may be willing to discuss these delicate issues openly. Various in-basket simulations involving value-oriented issues (e.g., having to tell a subordinate that he is doing an inadequate job) can reveal the candidate's real-time stance on specific ethical issues.

In the higher education community, *intelligence* is a valuable commodity although the kind and degree of intelligence necessary vary according to the specific job. A bright and creative candidate with an impressive graduate degree probably will not be happy in a routine job. Although there are various paper-and-pencil performance tests to measure intelligence, some have been shown to be racially biased and should be used cautiously, if at all. Graduate degrees and records of school performance are perhaps the best indices of overall intelligence and, more importantly, may indicate the candidate's ability to work successfully in an academic environment. Peer assessments are also valuable.

Because administration consists basically of solving problems, it is essential that an administrator have the *ability to analyze problems,* interpret complex and conflicting information often involving human relations, and ultimately find solutions. Past performance and the ratings of current supervisors are excellent sources of information about a candidate's analytical skills, and simulations and in-depth interviews can also provide valuable insights.

Communication skills are also essential to successful administration. Writing and verbal skills, as well as the ability to be a good listener and an effective small-group participant, are required. To test their communication skills, candidates being considered for major administrative positions could be interviewed by small groups of people and asked to write responses to specific questions.

Although this factor is not often discussed, *organizational compatibility* may contribute most to the effectiveness of the administrator and his longevity on the job. An administrator whose work habits or personality alienates his colleagues has little chance of success, and careful interviewing, checking of references, and several campus visits by the candidate should reduce the possibility of incompatibility. It is also vitally important that a candidate's future coworkers be involved in the selection process. Their expectations and concerns will help define the type of candidate who will be compatible.

Selling the Candidate on the Job

Many college administrators try to sell the job to the candidate before assessing his competency. While a certain amount of selling should be part of a job interview, it should not dominate. Frequently an administrator who is interviewing candidates for a position he will supervise devotes a great deal of time to a demonstration of his own qualifications as a boss. This must be done at some time but this is not the time. The interviewer will not learn enough about the candidate, and the candidate will probably think his potential supervisor is "trying too hard." The selling of the job should wait until the best candidate has been selected, and this decision is seldom made during the initial interview. When the time comes to sell the job to a candidate, several factors should be kept in mind. First, if the interview has been positively oriented, the candidate should already be interested. And if the position description has been properly developed with the candidate's participation, he should be well informed about the job.

> *"A vague description of personal characteristics can leave so much room for interpretation that the institution may find it impossible to prove that it has not discriminated."*

Second, it is essential that the institution offer incentives in addition to salary. Jurgensen identifies ten incentives: advancement, benefits, the status and achievements of the institution (or company), compatible co-workers, good working hours, pay, security, characteristics of supervisor, type of work, and working conditions.[13] In general, the higher the level of job, the greater the candidate's interest in type of work, opportunities for advancement, status and achievements of the institution, characteristics of co-workers and supervisors, and salary. In most instances, benefits, hours, and working conditions are more important to lower-level jobholders. From his study of workers, Frederick Herzberg developed a two-factor theory of motivation.[14] Those conditions of work that lead to satisfaction are not necessarily those that lead to dissatisfaction when absent. It is important that a job be satisfying—that is, meaningful, important, challenging, and stimulating. But a good job also lacks conditions leading to dissatisfaction: an unpleasant physical setting, an unreasonable supervisor, long working hours, no job security, and poor benefits. Executive-level applicants are usually more interested than lower-level applicants in the satisfying features, but this is because in most cases they take the other factors for granted. Cordial supervision or very little supervision, good benefits, and a comfortable if not luxurious office are usually the prerequisites of the high-level executive.

A third factor in selling the job is the campus visit. The candidate should have a chance to judge the institution firsthand. He should also be given an opportunity and encouraged to meet with potential colleagues, supervisors, and subordinates. On-campus visits increase the probability that the candidate will make the correct decision about whether he accepts the job offer. Campus visits also help him begin to get acquainted with members of the campus community. Often a first visit is arranged so that the institution can assess the candidate. After a candidate has been selected and a tentative offer has been made, he is invited to come back to the campus and to bring his family. During his second visit he is encouraged to pursue at length any questions he may have about the job description, performance standards, working relations, salary benefits, housing, and so forth. And this is the time for those responsible for the selection process to sell the position. At the conclusion of the second visit or additional visits (if necessary), a firm offer is made and the candidate is given a certain amount of time to consider and accept or reject it. He is most likely to accept the offer if all has gone well throughout the selection-recruitment process, if he has been properly evaluated and selected, and if he has been made to feel that the position is right for him.

PERSONNEL AND STAFFING PRACTICES

Among the most challenging but rewarding responsibilities of the manager is balancing the institution's needs with those of individual employees and the various groups that comprise the institution. The best planning and organizing are relatively meaningless if lack of cooperation, low morale, or labor disputes impair the mission and work of the college. While it is not possible to cover personnel policies and practices in depth in this *Handbook*, we discuss a few here either because they have received little attention in other literature or because they have recently become important.

The Indispensable Person Problem

While all administrators hope that their staff will be loyal, hard-working, and willing to assume responsibility, sometimes they find themselves suffering from too much of a good thing. They become dependent on an "indispensable person." And if the indispensable person gets sick or leaves, serious problems often follow. Even a greater problem is the possibility that a person who knows himself to be indispensable may use his power unscrupulously for his own ends. The indispensable person can be found in any department or division, but in higher education he frequently plays a gatekeeper role, controlling the flow of information or resources. Indispensability is not necessarily the indispensable person's fault; it usually begins with poor planning or delegation. A person may choose not to delegate any part of his job or he may be unable to delegate because the college will not hire another person to take over some of his tasks. Poor communication in the organization can increase the problem.

Effective management includes contingency planning that addresses the question "If we lose this person, how will we replace him?" General Motors' response to the problem is to have at least two people in line for every major position. They are trained to assume the position should it suddenly be vacated through promotion, illness, or resignation. Unfortunately, most colleges cannot afford to have two people in the wings for every major position. But regardless of size, every institution should have at least one person behind each administrator. They should be trained to assume responsibility on an interim basis when necessary, until a replacement can be found.

The Main Event Management staff deals with the problem of indispensability through the use of desk manuals in which each person documents the major functions of his job. Maintenance of all desk manuals is monitored, and this documentation is reviewed in connection with salary actions.[15] Some management practitioners go so far as to advocate phasing out *all* indispensable jobholders for the good of the company. While such a drastic measure may sometimes be the only solution, it can usually be avoided through contingency planning, the use of documentation (desk manuals), and systematic personnel development programs. (See Chapter 7.)

Promotions

Most institutions have fixed policies on faculty promotions that usually include minimal academic degree standards, minimum years of teaching at each professional level, and certain less tangible requirements. These generally include internal recognition (such as committee assignments and special events), external recognition (scholarly publication, election to honorary or professional offices), research, and grantsmanship. It is a common practice for institutions to have elaborate and generally agreed-upon procedures for recruiting and selecting both faculty and nonfaculty personnel from outside the college.

Few colleges, however, have agreed-upon procedures for selecting and promoting nonfaculty personnel from within. Although colleges are among the most significant shapers of men and women in our society, they are notoriously poor at systematic personnel training and evaluation and seldom have in-service education or appraisal programs for administration or staff.

"The interview is probably the most important step in the selection process, and the manner in which it is conducted is critical to the success of the recruitment-selection process."

At first glance, promotion and recruitment-selection policies seem to have much in common, the only difference between external selection and internal promotion being the location of the candidate. Therefore some would suggest the process for promotion should be the same as it is for hiring an outsider—planning and forecasting, drawing up job specifications and descriptions, locating and recruiting candidates, assessing and selecting candidates, and finally selling the candidate on the position or promotion.

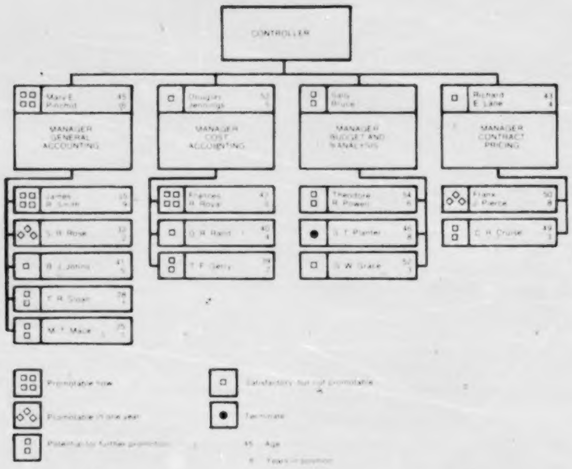
While recruitment and promotion do have some similar procedures, there are important differences. First, most people involved in the decision to promote know the person and his weaknesses, which will be much more evident to them than those of an outside candidate. Second, promotion to a new, more responsible position requires skills and abilities the inside person may or may not have; an outside candidate is recruited because he has the appropriate experience and skills. Third, it is much easier to assess loyalty, willingness to accept responsibility, and institutional compatibility of an insider (a colleague or subordinate) than of an outsider.

For nonteaching positions, some institutions have a policy for promoting from within whenever feasible. While this policy may reduce propensity for change, it has several advantages. It contributes to morale and institutional loyalty; it reduces turnover; and it helps develop a sense of community and *esprit de corps*. Promoting from within is generally thought to encourage positive personnel relations.

Some larger colleges and universities have developed administrative and staff inventory charts. These are similar to organizational charts in format except that they are coded to indicate performance rating, age, years of service, and promotability. Figure 4-3 is a typical personnel inventory chart.

FIGURE 4-3

Personnel Inventory Chart*



Compensation

When we think of compensation, we think of money first. But nonfinancial rewards are also essential aspects of compensation although they are frequently overlooked. Important nonfinancial elements of compensation include status and power, advancement opportunity, appreciation for work well done, job security, a sense of belonging, good working conditions, and understanding in the event of personal problems. The higher education administrator has fewer nonsalary options available than the industry manager, who may have stock options, profit sharing, incentive and bonus systems.

The Chronicle of Higher Education's annual publication of mean salaries for faculty and administrators makes it easy for an administrator to compare his institution with others. As declining enrollments and scarce funding become more prevalent, the differences in salaries may become even greater between the wealthy, prestigious institutions and their less fortunate counterparts.

Three factors that generally determine salaries are external competitiveness, internal consistency, and job performance. *External competitiveness* comes into play when the institution attempts to recruit someone from another institution with higher salaries or tries to prevent faculty members from accepting better offers, or when internal morale problems arise because similar institutions have higher compensation packages. Making across-the-board wage increases is the usual way of remedying external competitive disadvantages.

Internal consistency means that people in similar positions within a college are similarly compensated. It may be institutional policy not to reveal individuals' salaries, but the grapevine usually provides enough information to make comparisons, and inconsistencies produce problems in morale. When an institution sets aside internal equity for the sake of external competitiveness and recruits someone from another institution at a higher salary than others of the same rank, several salary changes may be necessary to maintain consistency and prevent discontent.

Because it is frequently difficult to evaluate job performance in professional positions, compensation is also determined by earned degrees, responsibilities, previous experience, and age. In higher education, job performance commonly determines whether a person is at the high or low end of the range for a rank or position. Amount of responsibility carried and productivity often correlate minimally with gross compensation unless promotions are frequent. Unlike industry, *contribution* is rarely correlated directly with compensation.

Tenure

As originally conceived, tenure protected faculty from arbitrary and capricious actions when their research, writing, or speaking offended trustees and administrators. Basically it guaranteed academic freedom. Over the years, tenure has evolved to include additional protections until today there is some uncertainty regarding just which protections come under the tenure umbrella. In some cases, institutional tenure policies have been formally adopted; in others they have been established by precedent. Occasionally, obligations beyond the basic meaning and intent of tenure have been agreed to by colleges. The standard explanation of the meaning and nature of tenure is the American Association of University Professors' *Statement of Principles on Academic Freedom and Tenure* (AAUP, One Dupont Circle, Suite 500, Washington, D.C. 20036), originally adopted in 1940 and amended and clarified several times since.

While tenure was primarily developed to protect the rights of faculty, it must also be recognized that trustees and administrators have rights and duties

---

*From *Essentials of Management* (2d ed.) by Harold Koontz and Cyril O'Donnell, page 337. Copyright © 1978 by McGraw-Hill, Inc. Used with permission of McGraw-Hill Book Company.

flowing from their responsibility to ensure survival of the institution. And in order for the institution to survive, some degree of flexibility is necessary. The current understanding of tenure allows termination of a tenured faculty member only for incompetence or moral turpitude and, more recently, in the case of an institution's financial exigency. As a result, the granting of tenure is a long-term commitment that many colleges are increasingly less willing to make; it is feared that inflexibility arises when an institution is bound to a majority of the faculty for their lifetimes. One practical effect of this reluctance to grant tenure is a high turnover among young faculty.

> *"Before beginning the recruitment process, the administrator should determine if his expectations are realistic."*

Because of the hardships and strains of these current practices on both colleges and faculty, experiments with alternatives to tenure are beginning to occur. Among those most often tried have been the three-, five-, or seven-year "rolling contract" for the faculty member who has successfully completed a basic probationary period. Such arrangements provide for two or more evaluations over the course of the contract. A positive evaluation leads to an automatic extension of the contract to its initial length and conditions, while a negative evaluation allows for a period of improvement followed by reevaluation. If reevaluation is positive, the contract is extended to its original term; if the evaluation is negative, the faculty member enters a terminal contract period. Several variations on this theme are currently undergoing scrutiny as are a variety of simple long-term (but fixed-period) contracts.

Affirmative Action

All colleges accepting federal monies are required to adopt affirmative action plans to help ensure equal employment opportunities for minorities and women and to help prevent discrimination against anyone on the basis of race, color, sex, religion, age, or national origin. An affirmative action plan must comply with federal law and regulations. As a result of the Supreme Court decision on the Bakke case, quotas for affirmative action are illegal but maintaining goals are still very important, and those responsible for administering equal opportunity and affirmative action programs must devote continuing effort to keep up with and understand changes in this important field.

As a general principle, however, the most effective approaches to affirmative action are taken during the process of defining the position to be filled and in advertising for and recruiting the applicant pool. The job should be defined to eliminate all unnecessary barriers and arbitrary requirements, and the opening should be widely advertised to ensure that women and minorities will be reached.

Beyond the fact that the affirmative action plan must be sensitive to the peculiarities of each institution, the important consideration is that it be well designed and carefully administered. Affirmative action can be a positive force benefiting both the institution and the public.[16]

Grievance Procedures

Included in Title IX of the 1972 Higher Education Amendments and various other federal acts and regulations is a provision that requires every institution to adopt a grievance procedure committing college officials to due process, fairness, and reconciliation in responding to an employee's concerns and grievances. As in affirmative action, grievance procedures must comply with federal regulations. These procedures can be very detailed or relatively simple, but they must include all of the elements of due process: (1) the right to a fair, unbiased formal hearing; (2) access to policies and procedures; (3) notice of hearing date; (4) sufficient time to prepare for the hearing; (5) right to counsel; (6) right to present or confront witnesses or accusers; and (7) right to appeal. The grievance procedure is a method to determine whether a violation of rules has occurred, to determine appropriate means for correcting and redressing any violation, and to provide a fair hearing without fear of reprisal. (See *Document 4-13* for guidelines on developing grievance procedures and sample grievance procedures.)

Termination

There is no such thing as a good termination. Termination when necessary is an indication of both administrative and employee failure. The Civil Rights Act of 1964 and subsequent court decisions have provided protection against arbitrary firings; thus, when termination is deemed to be the only acceptable solution to a problem, administrators must be careful not to violate the employee's right to due process and to remember that a hasty decision or a careless remark may result in costly litigation.

Institutional policies and position descriptions should specify the person or people with the authority to make termination decisions, and when performance is substandard the responsible administrator should try to help the employee bring his performance up to expected levels as quickly as possible. It is understandable that many administrators find it difficult and distasteful to confront an employee with substandard performance, and they often tend to procrastinate. This only contributes to failure, however, and makes the supervising administrator a party to it. Before an employee is fired, it is only fair that he be given an opportunity to improve his substandard performance. A three-step termination procedure is generally considered minimum. First, the supervisor gives verbal warning. If there is no improvement, a written notice follows. Finally, if performance is not brought up to acceptable standards the person is fired.

Harold Hook outlines a similar three-step process, which is humane and appropriate to current personnel practice and regulations.[17] First, employee and supervisor define and agree on the problem. Before any action is taken, the employee should understand how his performance is substandard and he should agree that it needs to be improved. Second, supervisor and employee should develop and agree on a program for improving performance. It should be put in writing with agreed-upon changes in behavior, results, or performance specified and a definite timetable established. Supervisor and employee then agree on the consequences (termination) if the employee fails to meet the program and timetable. In the event that he does not improve, he will already have agreed that he should be fired and so should find it reasonably acceptable—or at least as acceptable as possible.

Hook believes that there are only three ways of handling substandard performance: *upgrade* performance through training, motivation, and improved communication; *transfer* the individual to a new position with new people and different responsibilities; *terminate* the individual if training, motivation, communication, and transfer fail to change the level of performance.[18]

Much of the ill will surrounding termination results from poorly defined standards of performance or no standards at all. It is impossible to judge someone's performance as substandard if there is no standard. Therefore it is essential to establish standards and a means of measuring performance against the standards.

Faculty termination should conform not only to the procedure outlined above, but also either to the guidelines of the American Association of University Professors (AAUP),[19] if they have been adopted by the institution, or to institutional contracts drawn up and adopted by the faculty and trustees. Courts have generally held that well-documented, self-contained, and internally consistent contracts are sufficient even if they do not comply with those of AAUP unless they deprive the person being released of either his liberty or property rights.[20]

NOTES

1 W. Todd Furniss, *Steady-State Staffing in Tenure-Granting Institutions, and Related Papers* (Washington, D.C.: American Council on Education, 1973), pp. 26-30. See also *Document 4-1*.

2 Harold S. Hook, Main Event Management Corporation, P.O. Box 215017, Sacramento, California 95817. *MODEL-NETICS® Course Book, 1971-72*, Model 60 ("Job Fusion Triangle").

3 John P. Campbell, Marvin D. Dunnette, Edward E. Lawler, III, Karl E. Weick, Jr., *Managerial Behavior, Performance, and Effectiveness* (New York: McGraw-Hill, 1970), p. 7.

4 John C. Flanagan, "The Critical Incident Technique," *Psychological Bulletin* 51 (July 1954): 327-358.

5 Eugene B. Habecker, *Affirmative Action in the Independent College: A Practical Planning Model*, ed. Gary H. Quehl (Washington, D.C.: The Council for the Advancement of Small Colleges, 1977).

6 Hook, Model 76 ("Person-Job Overlay").

7 Campbell and others, pp. 26-29.

8 Hook, Model 59 ("Interview Pentagon").

9 Hook, Model 44 ("Failure Avoidance Selection") and Model 136 ("Success-Oriented Selection").

10 Milton M. Mandell, *The Selection Process: Choosing the Right Man for the Job* (New York: American Management Association, 1964), pp. 195-196.

11 Tony A. Mobley, "Selecting the Department Chairman," *Educational Record* 52 (Fall 1971): 321-327.

12 Harry Levinson, "Don't Choose Your Own Successor," *Harvard Business Review* 52 (November-December 1974): 53-62.

13 Clifford E. Jurgensen, "What Do Job Applicants Want?" *Personnel* 25 (March 1949): 352-355.

14 Frederick Herzberg and others, *The Motivation to Work*, 2d ed. (New York: Wiley and Sons, 1959).

15 Michael J. Poulas, "Main Event Management," presentation made at "Running Higher Education," a conference sponsored by the Council for the Advancement of Small Colleges (CASC) and the American Association for Higher Education (AAHE), February 1977.

16 For assistance in developing an affirmative action plan, see Habecker (cited above).

17 Hook, Model 141 ("Three Step Termination").

18 Hook, Model 135 ("Substandard Performance Alternatives").

19 American Association of University Professors, *AAUP Policy Documents and Reports* (Washington, D.C.: American Association of University Professors, 1977), pp. 16-22.

20 Board v. Roth, 40 USLW 5079 (1972); Ortwein v. Mackey, 511 F. 2d 696 (5th Cir. 1975); Miller v. Brachen, No. IP 74-490-C (USDC, Southern District of Indiana, Indianapolis Division).

Documents
Chapter 4

Document 4-1

Title: Forecasting Personnel Needs: Department Planning Tools

Source: W. Todd Furniss, American Council on Education, from *Steady-State Staffing in Tenure-Granting Institutions, and Related Papers* (Washington, D.C.: American Council Education, 1973). Reprinted with permission

General Description:

Whether the institution is growing or has reached steady-state, projecting faculty and staff needs is essential for maintaining institutional flexibility. For example, during growth new positions are needed to meet demands and to ensure staffing flexibility even though tenure is granted to those in existing positions. Conversely, when growth slows down or stops, flexibility is reduced especially when tenure is granted at the traditional rate. The result is a higher and higher percentage of tenured faculty and less flexibility to meet changing student, market, and institutional needs. Personnel planning and forecasting is an attempt to provide flexibility and to introduce fresh ideas and people in a reasonable and regular way.

The forecasting and planning tool is a graphic way to analyze and illustrate personnel needs and the potential effect of the modification of existing policies. The charts may be modified to meet local institutional needs.

Instructions for Use:

The Personnel Profile (Chart 1)

Chart 1 is a modification of a department profile (which included salary) developed in the early 1960s at the Ohio State University*. It is designed to record by symbols, names, or other marks the current faculty of a department or division distributed according to age. Although most faculty members will fall between the ages of 25 and retirement (70 in the example), the profile adds segments to include 15 years before age 25 to make possible the use of the planning ruler shown in Chart 2.

At the bottom of the profile is a scale marked "Year Index." The current year, for which the initial profile is prepared, is entered in the first space, marked with an arrow. Subsequent years are entered in order to the left.

The Planning Ruler (Chart 2)

The ruler is designed to exhibit through its large window a group of 45 years on the profile. Setting the ruler's notch over the first indexed year reveals today's faculty and their ages. Moving it to the left shows the faculty in later years. The age scale printed on the ruler "ages" the faculty as the ruler is moved. The right-hand margin progressively blocks out those who pass retirement age, while the left margin opens successive years in the future.

The ruler in Chart 2 is presented as a cut-out. It could also be made of tracing paper or acetate and used as an overlay, with the margins and the backing of the age scale made opaque.

Faculty Planning Worksheet (Chart 3)

To supplement information symbolized on the profile and to record the effects of current and projected policies, the planner will need one or more worksheets. Chart 3 provides a sample.

---

*See W. Todd Furniss, "Department and Faculty Profiles: An Aid To Judgment," *Liberal Education* 49 (October 1963): 354-65.

Use of the Profile

Although the profile of the current faculty may initially be kept very simple, the use of machine copies permits its elaboration for special purposes without the need to redraw it for each one. For example, new symbols indicating academic rank, salary, specialty within field, or sex may be added, or separate profiles may be prepared (using the planning ruler) showing the consequences of changes in policy in the future, with and without grandfather clauses. The results of several projections year by year or for a succession of longer periods can be recorded on the worksheets and then compared.

Sample Profile (Chart 4)

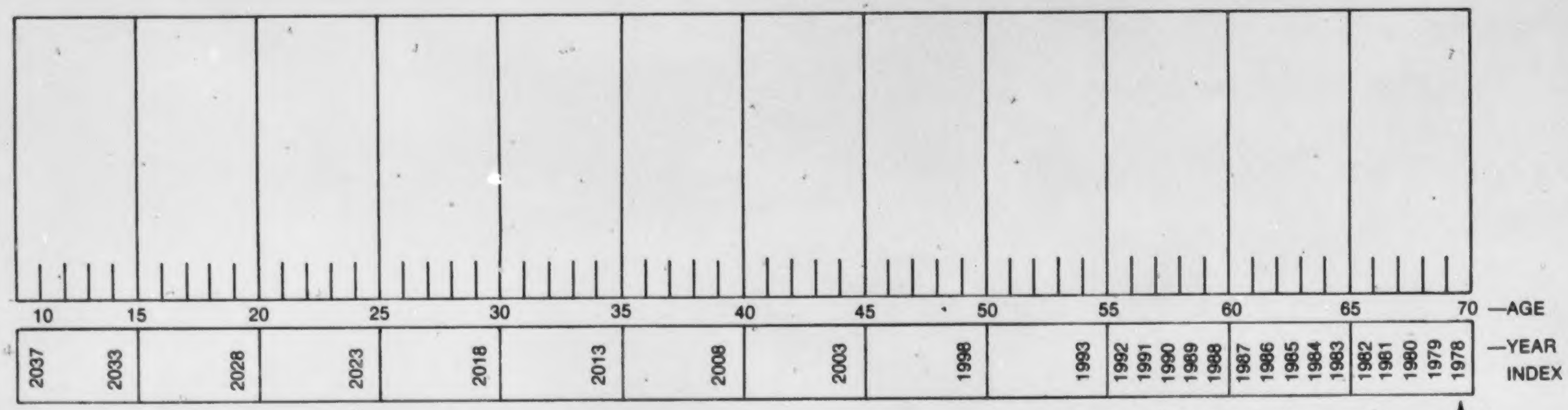
The sample profile is of an actual department. To the basic symbols representing contract status in the context of age have been added academic rank categories and, for each faculty member, an identifying number assigned alphabetically within each rank. The planning process itself will lead each planner to experiment with several alternatives; the sample presents only one.

The Personnel Profile

CHART 1

PROFILE FOR (Unit) ______________________
Year ______________________

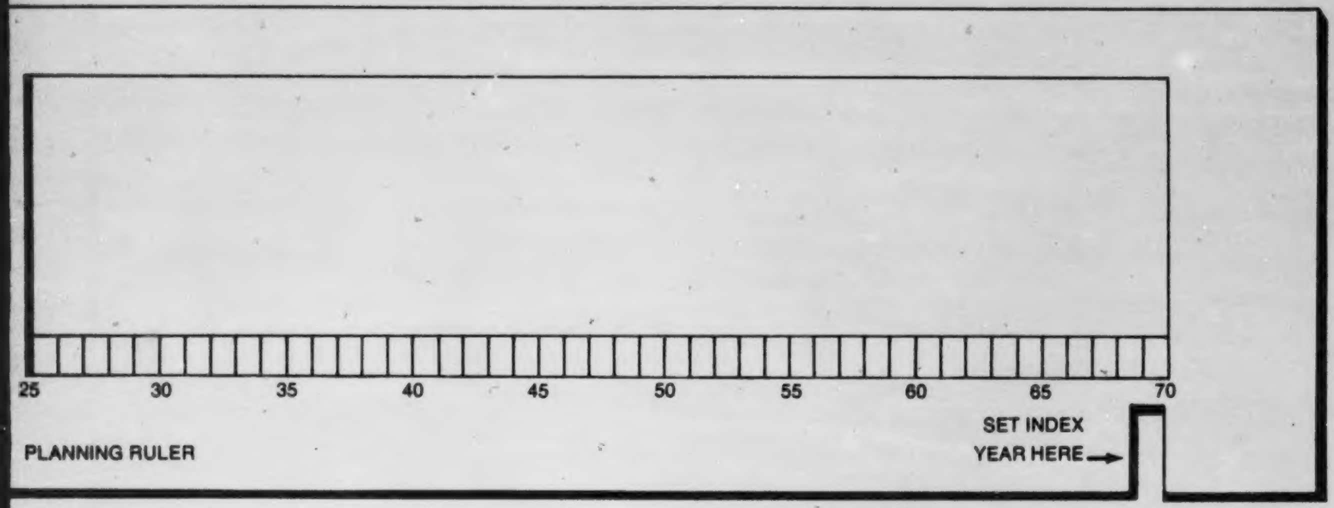
Symbols:
■ Nontenured faculty member
● Tenured faculty member
▲ Appointee ineligible for tenure (visitor, exchange)
☐ On leave
○ On leave


10
15
20
25
30
35
40
45
50
55
60
65
70
—AGE
2037
2033
2028
2023
2018
2013
2008
2003
1998
1993
1992
1991
1990
1989
1988
1987
1986
1985
1984
1983
1982
1981
1980
1979
1978
—YEAR INDEX

Enter here year for which basic chart was made

The Planning Ruler

CHART 2


25
30
35
40
45
50
55
60
65
70
SET INDEX
YEAR HERE
PLANNING RULER

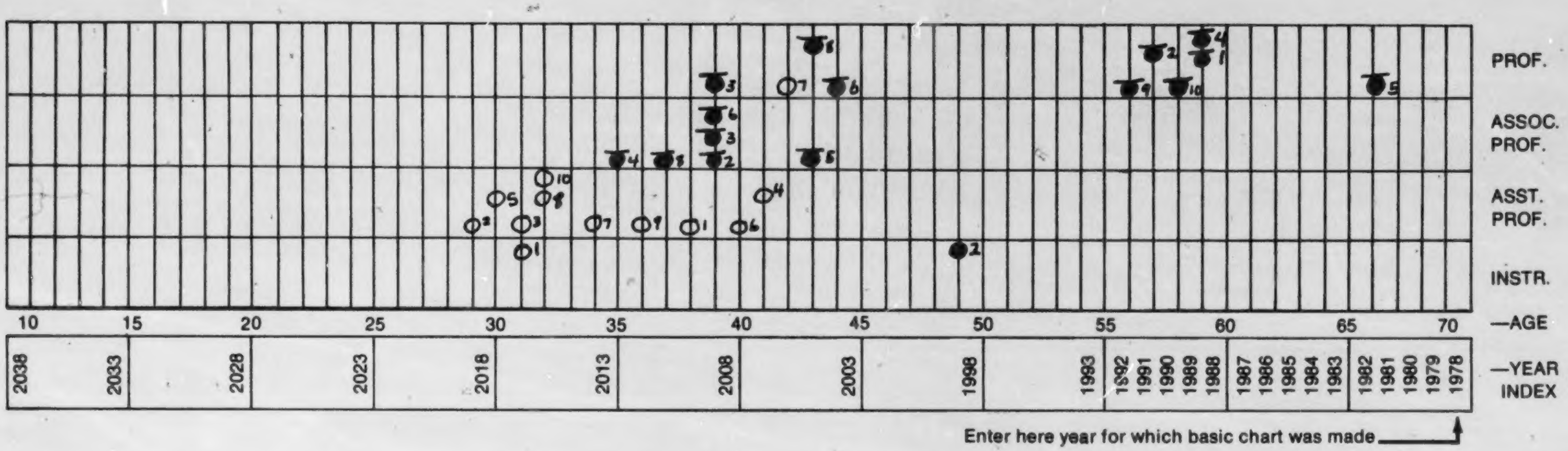
Faculty Planning Worksheet

CHART 3

Tenure Decisions Due	Year	Projected Vacancies End of Year					Total Faculty Positions—Academic Year Current and Projected					
Names/Numbers		Retirements	Non-reappts.	New Positions	Other	Total	Nontenured		Tenured		Percent Women	Percent Minority
							Regular	Visitor	No.	%		
1978	1978											
	1979											
1979	1980											
	1981											
1980	1982											
	1983											
1981	1984											
	1985											
1982	1986											
	1987											
1983	1988											
1984	1989											
1985	1990											
1986	1991											
1987	1992											
1988	1993											
1989	1994											
1990	1995											
1991	1996											

Sample Profile

CHART 4



Document 4-2

Title: The Critical Incident Technique

Source: William H. Bergquist

General Description:

An "incident," according to John Flanagan, the originator of this technique, is "any observable human activity that is sufficiently complete in itself to permit inferences and predictions to be made about the person performing the act. . . . To be critical, an incident must occur in a situation where the purpose or intent of the act seems fairly clear to the observer and where its consequences are sufficiently definite to leave little doubt concerning its effects."[*]

The critical incident technique involves the identification of specific job performances, described in the context of the jobholder's interaction with his human and physical environment. These performances highlight or reflect one or more critical attributes of the job being studied. A selection committee, for instance, might ask the current dean and his colleagues to engage not in the assessment of what skills the new dean might need, but rather in the identification of specific incidents during the tenure of the incumbent dean that concretely reveal the nature and requirements of the job to be filled. These incidents should reveal the pervasive and continuing responsibilities of the deanship, as well as point the way to new responsibilities or areas of increasing responsibility. The selection committee, in turn, can request the job applicants to respond to these critical incidents through the use of interviews or simulations (see discussion in Chapter 4).

Instructions for Use:

The critical incident technique, as described by Flanagan, involves five steps. First, the general purpose of the job must be determined. The primary responsibilities of the jobholder and the primary objectives of any program that he administers are identified. What does the job require if a person is to be judged successful or effective in performing it? This information is usually obtained from several different people, not just the current jobholder.

The second step involves the development of plans and specifications for collecting factual incidents related to the job. At least three different approaches have been taken in the collection of critical incidents. By far the most thorough and time-consuming procedure is the observation of actual job performance. Alternatively, the current jobholder and his colleagues can be interviewed about critical incidents, or a questionnaire can be administered that asks respondents to indicate the extent to which several possible critical incidents occur in a specific job. In using the critical incident technique, one must choose at an early point between these procedures or some combination of them.

If observations are to be made, then the situations that are to be observed must be identified and the general purpose of the job conveyed to the observers. These trained individuals must then observe the job performance to determine which specific activities seem to contribute to the purpose of the job and which seem to impede progress toward this purpose. Both types of activities are considered critical and can prove invaluable to a recruitment and selection process. Each of the critical incidents that has been identified is then studied by the observer in terms of: (a) the events that led up to the incident and the setting in which it occurred, (b) what the jobholder did that was effective (or ineffective), (c) perceived consequences of the critical activity, and (d) whether such consequences were actually within the control of the jobholder.[**]

---

[*] John C. Flanagan, "The Critical Incident Technique," *Psychological Bulletin* 51 (July 1954): 327.

[**] Marvin D. Dunnette, *Personnel Selection and Placement* (Belmont, Calif.: Wadsworth Publishing Co., 1966), p. 79.

In the case of interviews, a variety of people who work closely with the person holding the job, as well as the current jobholder himself, are asked to describe four or five incidents that they feel have been critical to the effectiveness of the current jobholder or, if the position has been occupied by several people over the past three years, to past jobholders. As in the case of observations, these incidents may have led to either successful or unsuccessful accomplishment of a specific and significant job purpose or program objective. The interviewee should be encouraged to focus on specific activities or occasions, rather than some general and recurring behavior or relationship. He also should be encouraged to describe this activity or occasion with as much detail as possible—in terms of the four categories that were mentioned above in our discussion of the observation procedure. A critical incident interview can be conducted with either individuals or small groups (three to five members).

A critical incident questionnaire provides the respondent with a list of incidents that might contribute to the successful or unsuccessful completion of major job purposes and program objectives as outlined at the start of the questionnaire. The respondent is asked to indicate the extent to which he believes that each of these incidents contributes to success or failure. This questionnaire is usually distributed to a sample of twenty-five to fifty administrators, faculty, staff, and (if a student-oriented position) students.

The third step of the critical incident technique involves the collection of data, through the use of observation, interviews, and/or questionnaires. Though each of these data collection procedures can be used independently, a combination of two or three might be more appropriate, given the limitations in time and resources at most colleges and universities. The following blending of the three procedures is recommended:

1. Observation of the current jobholder by two persons (one external to the institution, the other coming from a different administrative unit in the institution) for one or two days (separated by at least two weeks); identification of ten to fifteen critical incidents (man-hours: 20-44).
2. One-hour individual interviews with the current jobholder and his supervisor (superior), and a one-hour group interview with three or four other key administrators and faculty who work with the current jobholder; testing frequency and importance of critical incidents that were identified by the observers; identification of ten to fifteen new critical incidents during the interviews (man-hours: 4-5).
3. Formulation of critical incident questionnaire based on the data collected by the observers and interviewers; distribution of questionnaires to twenty-five faculty and administrators; ratings of the relative significance of each critical incident (man-hours: 10-15).

The fourth step of the critical incident technique is the analysis of the data that has been collected. This analysis should increase the usefulness of the data without sacrificing the comprehensive, specific, or valid nature of the data. The critical incidents that have been identified as significant should be compared to determine common themes or categories. These categories should be carefully labeled and defined, with appropriate critical incidents being used to illustrate and describe the category. A list of categories is thus compiled, with a sublist of critical incidents accompanying each category. This list, along with an extended job description, can be used to identify the type of job that an applicant will have to do if hired.

The final step requires the interpretation and reporting of the critical incident list to the appropriate client—in this instance, the person or committee that is responsible for the recruitment and selection process. The critical incident information and analysis should be carefully reviewed by the client. Those who have conducted the data collection and analysis should be present to clarify and justify the procedures that were used, as well as the specific decisions that were made concerning which incidents were considered critical, how these incidents were described, and how the final categories were formed. At this point, plans should be made for the inclusion of the critical incident list in the screening and interviewing process.

Document 4-3

Title: Position Questionnaire and Job Specification Preparation Procedure

Source: University of Alaska (Fairbanks, Alaska 99701); Contact person: Ms. Peggy Spencer, Institutional Studies

General Description:

A position questionnaire, job specification, and job description can prove quite useful in a recruitment-selection process. The following questionnaire, which also builds a job specification, yields nine types of information: (1) a brief statement of the purpose of the job, (2) a more specific description of job responsibilities, (3) a brief description of important environmental factors, (4) a statement about the job's most difficult and complex problems and challenges, (5) a brief statement of problems that must be referred to a supervisor, (6) a brief description of controls over the job, (7) a listing of job-related skills and experiences, (8) a quantitative statement of the size and scope of the job, and (9) a description of the organizational structure within which the job is located.

Instructions for Use:

As a recruitment instrument, the Position Questionnaire should be given to the current jobholder before the recruitment begins for the new jobholder. The results from this questionnaire can be used not only in the recruitment of job candidates, but also as a document that will help generate a position description and rapidly acquaint the newly appointed incumbent with some of the central features of the position.

Instructions For Completing Position Questionnaire

This questionnaire describes *what* a person in this position does, *how* the person is to do it, *why* it is done, *who* it affects, and *how* it fits with other positions in the institution. Assume the reader of this questionnaire knows nothing about the job. In the case of existing positions, both the incumbent and the supervisor are to sign the description. Feel free to retain a record copy.

Guidelines

HEADING—Please complete the general information requested. For "Position Title," fill in the *one* that best describes the position.

1. *Position Purpose*—This is a two-sentence summary telling why the position exists. It should be brief, undetailed, and specific. It should answer the question, "What is this position's primary purpose for being included in the organization?" It should describe why it exists as well as what end results it aims to accomplish.

2. *Principal Accountabilities*—These are statements of the end results expected of the position. They are fairly broad statements of *what* the position does and *why*. In other words, what is it trying to accomplish?

DUTIES (The *What*)	PRINCIPAL ACCOUNTABILITY (The *Why*)
Collect recipes Shop for groceries Cook well-balanced meals	Provide tasty and nourishing meals

In the example, the accountability indicates a clear end result to be accomplished—the *why*. Additional examples could be:

WHAT	*WHY*
—Establish effective cost control programs.	To assure reduction in department operating expenses.
WHAT	*WHY*
— Contribute to the development of educational services	To retain and attract students and faculty.

3. *Environment of Position*—This question seeks to identify the external economic and competitive environment in which this position operates. Included would be any unique or special conditions.

4. *Most Difficult and Complex Problems and Challenges*

a. Identify the major kind of operating problems that confront this position and what the solutions are for them. In other words, what are the major *ongoing* headaches of this position that really make the incumbent think, in terms of time and/or attention?

b. Major challenges could be separate and different from major problems.

5. *Problems Referred to Supervisor*—This question seeks to identify the kind of guidance and direction the person in this position receives in solving problems. Consider such things as making expenditures; recommending hiring, firing, or salary changes; and recommending changes and modification in curriculum.

6. *Controls on this Position*—Every position has restrictions on the actions it can take. These controls can be both supervisory and procedural.

a. Describe the general nature of policies, guidelines, and procedures established within this particular organizational unit that control this position's decision making. Do not include external controls such as state and federal laws and regulations.

b. This question is concerned with the kind of specific action this position can take on its own.

7. *Level of Skill and Type of Experience*—List the qualifications specifically required for a fully qualified replacement in this position.

8. *Dimensions of Position*—This question is designed to give a clear picture of the size and scope of this position in terms of statistics. Fill in any statistic that directly relates to the *end results* expected of this position. If this position is responsible for the operation of the shop, service, or department, the annual budget is the desired information. If the position contributes to a project, department, or service, the approximate yearly dollar magnitude and the manner in which the position contributes is the desired information. For example, a business manager has a connection with the approximate dollar magnitude of the yearly activity of a business office; an engineer or computer programmer has a connection, perhaps remote, with the dollar value of the research projects or ongoing programs with which he is involved.

9. *Additional Comments*—This section is to be completed to clarify points not adequately covered by previous questions.

10. *Organizational Structure*—Fill in the functional or descriptive titles of the positions and the number of employees in those positions directly surrounding the position described in this questionnaire. The term "peer" refers to *all positions that do not report directly to this position and that, along with this position, report to its supervisor.* Titles are not to be considered in determining peer positions.

NAME ______________________________

DATE ______________________ POSITION: ______________________

______________________ DEPT./DIV.: ______________________

YOUR SIGNATURE

SUPERVISOR'S JOB TITLE: ______________________

____

SUPERVISOR'S SIGNATURE

---

1. POSITION PURPOSE

In one or two sentences, describe the purpose of your position (why does it exist and what does it accomplish as to end results?)

____

____

____

____

2. PRINCIPAL ACCOUNTABILITIES

Describe at least five (but not more than seven) accountabilities of your position. These are statements of the objectives or *end results* expected of your position. They should be fairly broad statements describing *what* functions you perform and *why* you perform them.

1. ______________________________
2. ______________________________
3. ______________________________
4. ______________________________
5. ______________________________
6. ______________________________
7. ______________________________

3. ENVIRONMENT OF POSITION

What economic, competitive, or other *external* aspects affect the performance of your position?

4. MOST DIFFICULT AND COMPLEX PROBLEMS AND CHALLENGES

a. What kind of problems does your position solve and what are the complexities of those problems?

b. What are the greatest challenges of your position?

5. PROBLEMS REFERRED TO SUPERVISOR

What kind of problems must your position refer to its supervisor for resolution?

6. CONTROLS ON YOUR POSITION

a. What are the principal policies, controls, or other limits within which your position operates?

b. What kind of decisions can you make without requesting your supervisor's approval before taking action?

7. LEVEL OF SKILL AND TYPE OF EXPERIENCE

If you were promoted tomorrow, what skills and type of experience would your replacement need?

8. DIMENSIONS OF POSITION

Fill in those statistics below that are clearly affected by the actions of your position.

a. Monetary Measures:

b. Non-monetary Measures:

c. Number of personnel supervised:

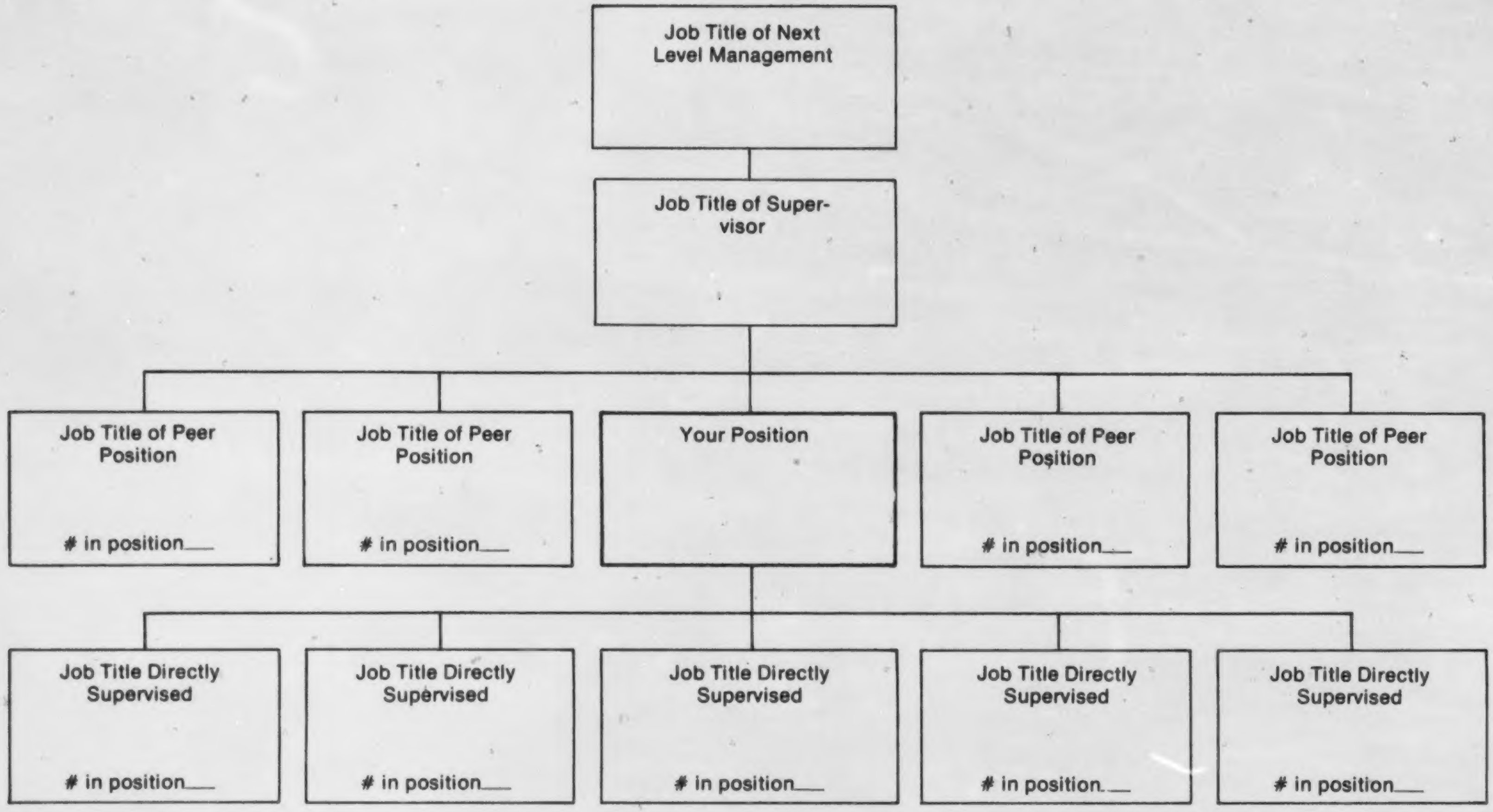
Exempt:____ Non-exempt:____

9. ADDITIONAL COMMENTS

Please provide any other comments that would help us to understand your position.

10. ORGANIZATIONAL STRUCTURE

Please fill in the organization chart on the next page.


Job Title of Next Level Management
Job Title of Supervisor
Job Title of Peer Position
# in position___
Job Title of Peer Position
# in position___
Your Position
Job Title of Peer Position
# in position___
Job Title of Peer Position
# in position___
Job Title Directly Supervised
# in position___
Job Title Directly Supervised
# in position___
Job Title Directly Supervised
# in position___
Job Title Directly Supervised
# in position___
Job Title Directly Supervised
# in position___

Document 4-4

Title: Authorization for Recruitment of Personnel

Source: Mankato State University*

General Description:

The purpose of the "Authorization for Recruitment of Personnel" is to confirm data regarding the existence of a vacancy within a unit and to secure approval for recruitment of a person(s) to fill the vacancy.

Instructions for Use:

1. Each department chairman should confirm with the appropriate supervisor (vice-president, dean, executive officer) that a vacancy exists within the unit and that adequate funds are available for funding the position.

2. If a vacancy exists, the department chairman should determine through consultation with his supervisor the appropriate level of professional preparation and experience expected of a candidate to be considered for the position, the rank to be offered, and the salary range.

***Documents 4-4* and *4-5* were developed at Mankato State University prior to 1976 and have been judged useful for a small liberal arts college. Significantly revised forms and procedures have been developed at Mankato State University that are more appropriate for a large university. A copy of these materials can be obtained from Dr. Joe D. Holland, director of personnel management, Mankato State University, Mankato, Minnesota 56001.

Authorization For Recruitment of Personnel

1. ______________________ School/Division

2. ______________________ Department/Program

3. ______________________ Position

4. Summary of Position Responsibilities ______________________

5. Proposed period of contract
9 ________
10½ ________
12 ________
Other ________

6. ______________________ Prior Incumbent (If new position, indicate "new")

7. Proposed Dates of Contract
Begin ______________ Month/Day/Year
End ______________ Month/Day/Year

8. Proposed Contract Type:
Tenured ________
Probationary ________
Fixed Term ________
Administrative ________
Grad/Intern ________
Grad Assistant ________

9. Proposed Rank:
Professor ________
Assistant Professor ________
Associate Professor ________
Instructor ________
Assistant Instructor ________
Other ________

Position Number	Account Number	Proposed Maximum Salary	Proposed FTE
10.	11.	12.	13.

14. Explanation of Proposed Salary and FTE ______________________

15. Recruitment Funds Requested, Amount and Purpose ______________________

16. Approvals
______________ Department/Program Chairperson
________ Date
______________ Dean/Division Chairperson
________ Date

Appropriate Vice President

Approved:
Maximum Rank ______________
Maximum FTE ______________
Recruitment Funds ______________
Maximum Salary $ ______________
Contract Type Approved ______________

1. *School/Division.* Name of appropriate school/division.
2. *Department/Program.* Name of appropriate department/unit.
3. *Position Title.* Recommended title, i.e., Assistant Professor of Math, Director of Placement.
4. *Summary of Position Responsibility.* Define in specific terms major responsibilities that the person will have, i.e., teach three Introduction to Drama classes, supervise development of employee enrollment manual (this information will also be used in the development of a vacancy notice).
5. *Recommended Length of Appointment.* Check recommended length of employment, i.e., nine-month, twelve-month.
6. *Prior Incumbent.* Name of the person(s) who previously filled the position. If the position was filled by more than one individual on a part-time basis, list the names of all part-time appointees. If the position is new, indicate "new."
7. *Proposed Date of Contract.* Specify recommended beginning and ending dates of appointment.
8. *Proposed Contract Type.* Check recommended type of appointment.
9. *Proposed Rank.* Recommend professorial rank and/or title.
10. *Position Number.* Number assigned to the position allocated to the institution should be specified here.
11. *Account Number.* Number against which salary will be charged.
12. *Proposed Maximum Salary.* The proposed maximum salary for the respective rank and FTE.
13. *FTE.* Recommended FTE proportion of a full-time position that is being assigned to accommodate the appointment. FTE is determined by dividing the actual or contract salary maximum into the base salary allocated for the respective position. The allocated base salary is obtained from the unit's position roster. For example, if a faculty member is being appointed to a half-time position, for the entire year, the FTE will be .5.
14. *Explanation of Proposed Salary and FTE.* Comments necessary to justify the proposed salary and FTE levels should be made in this section.
15. *Recruitment Funds Requested, Amount and Purpose.* Amount of recruitment money that will be required; itemize the funds requested for each proposed expenditure.
16. *Approvals.* This section will be completed by the appropriate administrative officials; department/program chairman and dean/division chairman's signatures.

Document 4-5

Title: Announcement and Distribution of Vacancy Notices

Source: Mankato State University*

General Description:

The department chairperson should prepare a "vacancy notice" to invite applications for the position. The sample vacancy notice, which has been prepared by the staff at Mankato State, can be used to announce most new openings.

Instructions for Use:

In filling out the vacancy notice, follow the instructions given below (the number of each step corresponds with the number noted on the vacancy notice):

1. The hiring unit may use its respective letterhead for this announcement.
2. "PLEASE POST" should be placed at the top of the notice.
3. Enter position title which should be identical to that approved on the P-O.
4. Enter department/school/unit as appropriate.
5. Enter position responsibilities, which should include information concerning the nature of the job, the responsibilities involved, the possible rank, teaching/administrative load, and the title of the person to whom the position reports.
6. Enter the criteria that will be used in selection, including the qualifications required; for example, academic achievement, professional experience, and, if pertinent, any specifications required such as necessary terminal degrees for teaching assignments in graduate programs. If any special expertise is required for a candidate's consideration, the requirements should be specific; for example, an announcement of a vacancy for an instructor of human relations might specify successful experience in working with members of ethnic minorities. Care should be taken in defining the preferred qualifications so as not to exclude persons with related experience, but not possessing terminal degrees, i.e., "Ph.D. Preferred" in lieu of "Ph.D. Required."
7. Enter salary rank.
8. Enter the starting date.
9. Enter the following statement: "For Application Materials, Send Letter of Interest To. . . . "
10. Enter name and address of individual to be contacted for further information and application forms relating to the position.
11. Enter date when application closes.
12. Enter date notice was prepared.
13. Enter the statement: "__________ is an Affirmative Action/Equal Opportunity Employer."

The following steps are recommended for the distribution of vacancy announcements:

1. *Low-Cost Advertisements*
   Department chairpersons should send a copy of the vacancy announcement to all

---

*See *Document 4-4*, footnote.

sources at the institution in order to reach a maximum number of persons at only the cost of mailing the announcements. These sources might include:

- Department Chairpersons
- Deans
- Career Development and Placement Office
- Minority Groups Studies Directors
- Associations of Faculty Women
- Coordinator of Women's Programs
- Community Women's Center
- News Bureau Director
- School Newspaper
- Affirmative Action Officers
- State Department of Manpower Services (Minority Groups Representatives)
- Placement and Vice-President for Academic Affairs offices of women's colleges
- State Council for the Handicapped
- Placement and Vice-President for Academic Affairs offices at Black colleges/universities
- Higher Education Resource Service at Brown University
- Higher Education Branch of the United States Department of Labor
- Higher Education Branch of the Office of Education of the United States Department of Health, Education and Welfare

Other devices by which a department chairperson may secure wide attention for vacancy announcements include:

a. Send the announcement to all professional contacts built up over the years.
b. Request colleagues to send announcements to qualified individuals known to them.
c. Arrange to have notices posted at appropriate local, regional, and national conventions.

Department chairpersons are encouraged to consult with the Affirmative Action Officer as to additional areas to be notified of vacancies.

2. *Paid Advertisements*—The following advertisement guidelines should be followed in placing paid advertisements:
   a. When paid advertising is authorized, a purchase order must be filled out in compliance with business office procedures to gain clearance to place advertisements. Should advertising be inserted without a purchase order, the person placing the ad may be held personally accountable for the costs incurred.
   b. The department chairperson should confirm the printing schedules of publications in which advertisements might be placed to assure that the publication will be able to print the advertisement before the deadline for accepting applications.
   c. In the event that a publication with which the hiring official is not familiar solicits publication of a paid advertisement, the following inquiries should be made and answers received in writing and evaluated prior to proceeding with the placement of an advertisement in the publication:
      (1) copy of circulation rate card
      (2) sample copy of publication
      (3) size of circulation
      (4) statement of publication's listing with the Audit Bureau of Circulation
   d. The advertisement must include the statement "________ is an Affirmative Action/Equal Opportunity Employer."
   e. Content of the paid advertisement should include as much information as possible from the vacancy notice.

★★★PLEASE POST★★★

---

1. (Hiring unit letterhead)

Announcing the Availability

of the Following Position

3. ______________________________________

Position Title

4. ______________________________________

Department/School/Unit

5. Position responsibilities:

6. Qualifications:

7. Salary range:

8. Starting date:

9. For application materials sent letter of interest to

10. (Name of department/search committee chairperson)

11. Application deadline:

12. Date of notice:

13. This institution is an Affirmative Action/Equal Opportunity Employer.

Document 4-6

Title: Sample Job Application Form

Source: Marshall University

General Description:

After a letter of interest in the position is received, the hiring unit should acknowledge the receipt of the letter and respond immediately by sending the applicant a packet of materials. The forms prepared by Marshall University can serve as a model.

Instructions for Use:

The packet of materials should contain the following:

1. A letter of acknowledgment
2. An application form
3. A copy of "Equal Opportunity Employer Information"
4. College catalog or other brochures that may be helpful to the candidate

The Equal Opportunity Employer Information form asks the applicant for information regarding sex, ethnic background, and/or physical handicap. This form is to be returned to the affirmative action officer, whereas the application form is to be returned to the department chairman. The Equal Opportunity Employer Information form information will not be shared with the department chairman; however, the affirmative action officer will advise the department if there is an appropriate mix of women and minority candidates.

A sample copy of each of the two forms follows.

160

MARSHALL UNIVERSITY

Personnel Division
Room 207, Old Main
Huntington, West Virginia 25701

"Equal Employment Opportunity Employer"

POLICY STATEMENT: It is the policy of Marshall University to provide equal opportunities to all prospective and current members of the student body, faculty, and staff on the basis of individual qualifications and merit without regard to race, sex, religion, age, handicap, or national origin.
This nondiscrimination policy also applies to all educational programs and activities as they pertain to admission, employment and other related activities covered under Title IX which prohibits sex discrimination in higher education.
Marshall University also neither affiliates with nor grants recognition to any individual, group, or organization having policies that discriminate on the basis of race, sex, religion, age, handicap, or national origin. Information on the implementation of the policy and/or the Title IX Amendment should be addressed to: Affirmative Action Officer, Marshall University, Huntington, West Virginia 25701.

APPLICATION FOR EMPLOYMENT

PERSONAL INFORMATION

Name ______________________________
Last First MI

Present Address ______________________________
No. Street City State Zip

Telephone Number (Area Code:) __________ Social Security Number __________

Permanent Address ______________________________
No. Street City State Zip

U.S. Citizen ☐ Yes ☐ No If No, give type Visa and Status __________ What is the general condition of your health? __________

Have you ever been addicted to habitual use of drugs or intoxicating beverages? __________

If yes, give details: ______________________________

Have you ever been discharged, forced to resign, or resigned after being notified you would be discharged from a position within the past 10 years?
☐ Yes ☐ No If yes, explain fully ______________________________

Do you possess a valid driver's license? ☐ Yes ☐ No What State? __________

Please complete the following section *if you are applying for a position as Security Officer.*

Have you been a resident in the County of Cabell or Wayne (W. Va.) for at least 60 days prior to date of application? ☐ Yes ☐ No

Have you been a resident of the state of West Virginia for at least one (1) year prior to date of this application? ☐ Yes ☐ No

---

JOB DATA: In space below, indicate position(s) in which you are interested; list first choice in first space, etc.

1. __________ 2. __________ 3. __________ 4. __________

If offered employment, indicate earliest date available __________

Are you interested in Full-Time ☐ or Part-Time ☐ employment?

If Part-Time, indicate days and hours desired __________

Would you be interested in temporary employment? ☐ Yes ☐ No (Check One)

Were you previously employed at Marshall? ☐ Yes ☐ No If Yes, what department and dates?

PERSONNEL DIVISION USE ONLY

Name __________ Last First

Date __________

Date of Application __________

SM SC TP SCT P EAM

EDUCATIONAL DATA

Circle the highest grade completed: 1 2 3 4 5 6 7 8 9 10 11 12 Above

Do you possess a G.E.D.? ☐ Yes ☐ No

Type of School	Name and Address	Indicate No. of Years Attended	Did You Graduate?	Kind of Degree Granted	List Course or Major
Grammar or Grade School			☐ yes ☐ no		
High School			☐ yes ☐ no		
College/University			☐ yes ☐ no		
Graduate			☐ yes ☐ no		
Graduate			☐ yes ☐ no		
Business/Technical/Trade			☐ yes ☐ no		
Other			☐ yes ☐ no		

SKILLS AND QUALIFICATIONS DATA: Please check or list all occupational skills and machine experience. Stenographic and Office Machine skills may be subject to testing.

Adding Machine ________
Bookkeeping ________
Calculator ________
Cash Register ________
Copying Machines ________
Dictaphone ________
Drafting ________
Graphic Arts ________

Keypunch ________
MTST ________
Magcard ________
Posting Machine ________
Shorthand Approx. wpm ________
Typing Approx. wpm ________
(Circle One)
Electric Manual

Other skill, machinery operated or other qualifications not covered elsewhere in this form:

PROFESSIONAL AFFILIATION

Professional license or registration: ________ State or Licensing Authority ________ Expiration Date ________

If more than one, list here: ________

List publications, papers presented, inventions, public speaking, consulting work, etc.: ________

Military Service: ________ Dates: From ________ Month/Year To ________ Month/Year

Branch: ________

Job Title: ________

Duties: ________

EMPLOYMENT HISTORY: List all former employment—**begin with present or last employer.** If additional space is required, ask receptionist for supplemental sheets or use a separate sheet and attach. Be sure to give complete address of employers: name of firms; street address; city and state; telephone number. If part-time, give approximate number of hours per week. Be sure all questions are answered for each section below.

1. Date

From: Month/Year

To: Month/Year

Your Title:

(Circle One)
Full-Time Part-Time

Name and Address of Employer

Name:

Address:

City & State:

Phone:

Kind of Business:

Name and Title of your Supervisor:

Number of persons you supervised:

Your Duties:

Reason for leaving or wanting to leave (circle one and explain):

2. Date

From: Month/Year

To: Month/Year

Your Title:

(Circle One)
Full-Time Part-Time

Name and Address of Employer

Name:

Address:

City & State:

Phone:

Kind of Business:

Name and Title of your Supervisor:

Number of persons you supervised:

Your Duties:

Reason for leaving:

3. Date

From: Month/Year

To: Month/Year

Your Title:

(Circle One)
Full-Time Part-Time

Name and Address of Employer

Name:

Address:

City & State:

Phone:

Kind of Business:

Name and Title of your Supervisor:

Number of persons you supervised:

Your Duties:

Reason for leaving:

May we contact your present employer or previous employers? ☐ Yes ☐ No

If no, please explain:

PERSONAL REFERENCES: List the names of three individuals who are personally acquainted with you. Do *not* list relatives or employers.

	Name	Profession or Business	Address	Phone Number
1.				
2.				
3.				

PROFESSIONAL OR EMPLOYMENT REFERENCES: List the names of at least three individuals who are acquainted with your academic, professional, or employment background.

	Name	Profession or Business	Address	Phone Number
1.				
2.				
3.				

Have we missed something important? Please use the space below to note any special activity, awards, or other information that may help us to understand your skills and abilities. ______

Thank you for completing this appliction form and for your interest in employment with Marshall University.

I hereby affirm that this Application for Employment, consisting of four pages and any additional letters, resume, materials, etc., contains no willful misrepresentations or falsifications and that the information given by me is true and complete to the best of my knowledge and belief. I am fully aware that should investigation at any time disclose any such misrepresentation or falsification I would become subject to disciplinary action which could include dismissal from employment at Marshall University. I hereby authorize any of my employers, associates or references to give Marshall University any information concerning my character, ability, and employment record and agree to hold such persons harmless from the consequences of any information they might give.

I realize it is my responsibility to complete fully all sections of the application and supply appropriate information as may be required for consideration of employment. Failure to do so may result in my application being voided and employment consideration being delayed for which I hold the University harmless.

Date ______ Signature ______

UNLESS RENEWED, APPLICATION ONLY GOOD FOR SIX MONTHS

Information contained herein, including attached materials, documents, photos, and included as part of application, will be considered confidential and is the property of Marshall University.

Marshall University Publications 577

MARSHALL UNIVERSITY
EQUAL OPPORTUNITY EMPLOYER INFORMATION

TO THE APPLICANT: VERY IMPORTANT ______________________________
Cite Title(s) of Position(s) Applying for

The information requested below regarding your race, sex, age, draft, and veteran status is needed for the purpose of completing important government reports to help determine the University's progress in hiring minorities, females, veterans, etc. In order to comply with Federal reporting requirements, any information not provided by the applicant that is required for legal compliance will be supplied by the University on a "best knowledge" basis as required by law. THIS CONFIDENTIAL INFORMATION WILL NOT BE VIEWED BY THE PRINCIPAL UNIVERSITY EMPLOYER AND WILL BE RETAINED IN A SEPARATE FILE TO FACILITATE THE REPORTING AND AUDITING OF AFFIRMATIVE ACTION PROGRESS AS IT RELATES TO MINORITIES, WOMEN, AND THE HANDICAPPED!

Please fill in the information requested below and forward to the Affirmative Action Officer, Marshall University, Huntington, West Virginia 25701

NAME: ______________________________
last first middle maiden

STREET ADDRESS

CITY STATE ZIP CODE AREA CODE HOME PHONE

DATE OF BIRTH

SEX
( ) MALE
( ) FEMALE

Cite "handicap" and any special work limitations that will aid in your consideration for suitable placement. Explain:

RACE OR ETHNIC IDENTIFICATION
- ☐ 1=American Indian or Alaskan Native—All persons having origins in any of the original peoples of North America.
- ☐ 2=Asian or Pacific Islander—All persons having origins in any of the original peoples of the Far East, Southeast Asia, the Indian Subcontinent, or the Pacific Islands. This area includes, for example, China, Japan, Korea, the Philippine Islands, and Samoa.
- ☐ 3=Black—All persons having origins in any of the black racial groups.
- ☐ 4=Hispanic—All persons of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin, regardless of race.
- ☐ 5=White—All persons having origins in any of the original peoples of Europe, North Africa, the Middle East.

VETERAN	DISCHARGE DATE	U.S. CITIZEN
☐ Yes ☐ No	____________	☐ Yes ☐ No

WHAT CAUSED YOU TO APPLY TO MARSHALL UNIVERSITY FOR EMPLOYMENT?

- ☐ 1=Saw MU JOBS announcement. Where? ______________________________
- ☐ 2=Saw newspaper advertisement. Name of publication? ______________________________
- ☐ 3=Professional journal announcement. Name of publication? ______________________________
- ☐ 4=Referred by an employment agency or placement office. Name? ______________________________
- ☐ 5=Encouraged by a friend or relative? ______________________________
- ☐ 6=Encouraged by a present or former MU employee? ______________________________
- ☐ 7=Referred by a training center (high school, technical, trade, college, etc.) ______________________________
- ☐ 8=Called personnel hotline? ______________________________
- ☐ 9=Other; explain? ______________________________

I certify that I fully understand the University's purpose in obtaining the above information and further certify that my responses are true to the best of my knowledge.

DATE ______________________________ ______________________________
SIGNED

Document 4-7

Title: The Screening Process

Source: Benjamin E. Sprunger and William H. Bergquist, adapted from documents used by various colleges and universities

General Description:

"The Screening Process" establishes a list of guidelines that the employing officer or a search committee should consider in initially screening applicants. If a committee is used, it should be composed of an odd number of people. In compliance with affirmative action principles, the committee should include, if possible, representatives from women and minority populations. If there are no women or minorities within the department, the department chairman is encouraged to consult the affirmative action officer who may help locate qualified women or minorities to serve on the committee.

Instructions for Use:

- I. Organizational meeting is held.
  - A. Members have been chosen by previously indicated "Selection Procedure."
    - 1. Elect chairman
      - a. Make certain chairman is actually elected—not just eased into chair for any one of a variety of unimportant reasons. He must be capable of running a meeting.
    - 2. Chairman requests each member to supply list of suggested questions prior to first interview.
- II. Chairman appoints subcommittees.
  - A. Committee to set criteria and edit questions.
  - B. Committee to select forms—
    - 1. question form
    - 2. rating form
    - 3. tally form.
  - C. Each candidate should be reviewed to assure completeness, to substantiate achievements, telephone references, etc.
- III. Chairman sets up interview schedule.
  - A. It is important to arrange as tight a schedule as possible.
  - B. If excessive time elapses between first and last interviews, memory may fade. Encourage members to keep notes on candidates. Question sheets and rating sheets may be used for this purpose.
- IV. Instructions are given to committee members.
  - A. Explain ground rules to committee prior to arrival of candidate.
    - 1. Use prepared questions or those in same area.
    - 2. Sequence of questioning will be determined by chairman.
    - 3. After candidate has answered question—leave it; do not add your opinion.
    - 4. Specific time will be allotted to each candidate—in fairness to all candidates.
    - 5. Help chairman adhere to schedule.
    - 6. Members should study candidate's resume *prior* to interview.
- V. The interview is held.
  - A. Welcome and introduce candidate.
  - B. Seat candidate facing chairman—making sure all committee members are visible to the candidate.

C. Supply candidate with list of questions.

D. Explain ground rules to candidate.

    1. Answer the obvious questions—
        a. job conditions
        b. salary
        c. vacation
        d. pension plans.

E. Conduct interview.

    1. Attempt to give each committee member an opportunity to question.
    2. Do not let any member monopolize questioning.
    3. Try to confine candidate's answers to the point.
    4. Attempt to limit questions that are already answered adequately in candidate's resume.
    5. Do not permit candidate to conduct interview.
    6. Terminate questioning.
    7. Give candidate time for summation.
    8. Explain to candidate the time schedule of committee.
    9. Set date beyond which no additional documents can be accepted.
    10. Thank candidate for coming.
    11. Terminate interview.

F. Immediately following interview—

    1. List committee members present on back of question sheet under candidate's name.
    2. Elicit comments from each member on candidate.
    3. Work away from chairman's right for one candidate and from his left for next.
    4. Ask each member at termination of comments to rate candidate.
    5. Chairman should keep an accurate record of ratings for future reference. (Use also as an attendance record.)

G. Final committee meeting—

    1. Using alphabetical listing of candidates and any appropriate rating system, have each member rate all candidates independently. Record results.
    2. Select top four or five—or whatever number seems appropriate—and conduct second poll, if necessary. Record results.
    3. Instruct committee members on reporting requirements, and procedures, and need for tight-lipped approach.
    4. Terminate meeting.

Document 4-8

Title: Procedures for Interviewing

Source: Benjamin E. Sprunger, adapted from Purdue University

General Description:

Of all the recruitment and selection activities, the interview provides the greatest opportunity to collect information, assess abilities, determine potential and problems, and verify formally submitted data. The interview can also be a legal minefield and create numerous problems if handled badly or if the wrong questions are asked. The interview can also be a great waste of time for all involved if there is inadequate preparation for it.

Instructions for Use:

The following techniques may serve as a checklist prior to setting up an interview and immediately before it takes place. Those doing the interviewing need to be aware of what questions *cannot* be asked as a result of federal legislation and regulations.

Procedures for Interviewing

1. *Prepare for the interview.* Plan the interview (objectives and timing) before seeing the applicant. Provide for privacy.
2. *Outline the interview by objectives.* Explain the job in terms of its duties, future, hours, pay, etc., as well as the undesirable features. *Do not oversell.*
3. *Cover all background areas.* After establishing a friendly, informal, relaxed relationship, proceed with the expected questions concerning work history and education.
4. *Ask personal questions naturally.* Personal questions are not impertinent; they often elicit valuable and useful facts needed to evaluate the whole person. (See Acceptable and Unacceptable Interview Questions.)
5. *Let the applicant do most of the talking.* An interview in which the interviewer does more than twenty-five percent of the talking will not produce the desirable information to determine the applicant's qualifications.
6. *Take adequate time.* An interview should not be hurried. Depending on the applicant's background and the position, a satisfactory interview can be conducted in thirty minutes.
7. *Use a conversational manner.* Phrase questions conversationally, but never accept loose generalizations for answers.
8. *Avoid leading questions.* Leading questions are those that can be answered with a simple "yes" or "no." Questions beginning with "why," "who," "when," "where," or "how" encourage detailed, free-flowing answers.
9. *Avoid moral judgment.* The employment interview is neither a counseling session nor a place for criticism or admonition.
10. *Record answers and exact dates.* Make notes on the application as the applicant talks. Interview notes put information in an organized form which permits later objective analysis.
11. *Check inconsistencies carefully.* When a contradiction in the data is found, call it to the applicant's attention in a friendly, non-critical manner. This will bring forth an honest answer.
12. *Create good will when terminating interview.* If it is certain that the applicant is not qualified, conclude the interview at any logical stopping point. A "thank you for coming in" is always given. It is extremely important to retain good will when terminating the interview.
13. *Ask for final questions.* Clarify and summarize all final questions the applicant may have.
14. *Make specific arrangements.* Set a time when you will contact the applicant concerning your final decision.
15. *Be honest.* If you are undecided between the applicant you are interviewing and another applicant, indicate this. If another applicant's qualifications are better, then reject the applicant on the spot. If you wish to hire the applicant, make the offer and arrangements to report to work, etc.

Acceptable and Unacceptable Interview Questions

Based upon federal legislation and compliance requirements, and upon most state legislation, the following questions or topics for discussion in interviewing applicants have been determined to be either more acceptable or more unacceptable. Some questions may be acceptable for a few jobs, but unacceptable for the majority.

	Acceptable	*Unacceptable*
1. Asking the applicant if he has ever worked under another name.	X	
2. Asking the applicant to name his birthplace.		X
3. Asking a male applicant why he is interested in a typically female job.		X
4. Asking the applicant to submit proof of age by supplying birth certificate or baptismal record.		X
5. Asking the applicant for his religious affiliation, name of church, parish, or religious holidays observed.		X
6. Asking the applicant if he is a citizen of the United States.	X	
7. Asking the applicant if he is a naturalized citizen.		X
8. Asking the applicant for the date when he acquired his citizenship.		X
9. Asking the applicant if he has ever been arrested for any crime, and to indicate when and where.		X
10. Asking the applicant to indicate what foreign languages he can read, write, or speak.	X	
11. Asking the applicant how he acquired his ability to read, write, and/or speak a foreign language.		X
12. Asking the applicant about his past work experience.	X	
13. Asking the applicant about previous convictions, and using that information as a reason for not hiring.	X	
14. Asking the applicant for his wife's maiden name.		X
15. Asking a female applicant if she really wants to be considered for a typically male job.		X
16. Asking the applicant if he minds answering some personal questions.		X
17. Asking the applicant for a list of names of all clubs, societies, and lodges to which he belongs.		X
18. Asking the applicant to include a photograph with his application for employment.		X
19. Asking the applicant if he would mind taking a test specifically related to the job.	X	
20. Asking a female applicant if she is pregnant.		
21. Asking a female applicant if she has childcare or baby-sitting arrangements if she has children.		X
22. Asking an applicant how long a period of employment is expected.		X

23. Inquiring by written or verbal form as to the marital status of an applicant.		X
24. Asking an applicant whether he is head of household or principal wage earner of family.		X
25. Asking a male applicant at what age he expects to retire.		X
26. Asking the applicant whether he is physically handicapped or mentally handicapped.		

Points to Consider When Interviewing an Administrative Candidate

1. Administrative skill and experience.
2. Knowledge of students to be attracted and services needed by them.
3. Familiarity with faculty problems: recruitment, personnel policies, role in governance, and others.
4. Sensitivity to current problems of higher education.
5. Ability to communicate—orally, in writing, through illustration.
6. Able to meet deadlines; capacity to follow through and evaluate results.
7. Organizational ability.
8. Ability to delegate.
9. Leadership ability.
10. Ability to motivate others.
11. Ability to relate well to people.
12. Firm but tactful.
13. Interest the candidate has in the position.
14. Educational qualifications.
15. Professional stature and reputation.
16. Teaching experience in higher education.
17. Other traits:
    Intellectual ability
    Initiative
    Conscientiousness
    Thoroughness
    Industriousness
    Perseverance
    Creativity
    Dependability
    Adaptability
    Reaction to frustration
    Maturity
    Poise
    Emotional stability
    Sociability
    Health
    Appearance
    Character
    Integrity

After the Interview

1. Contact each person as you promised and accept or reject.
2. Keep others in the process informed.
    a. Return materials to whoever is coordinating the hiring procedures.
    b. Call appropriate people if you have any questions or further information concerning applicants.

Document 4-9

Title: Selection Decision Reports

Source: Benjamin E. Sprunger and William H. Bergquist, adapted from various college and university documents

General Description:

Following each interview, some type of rating scale or evaluation sheet should be completed as a record. At the conclusion of all interviewing, a formal report should be submitted for each candidate who has been considered.

Instructions for Use:

The Selection Analysis Form should be completed by the person making the final decision and each member of the selection committee if a committee has been involved. The Selection Decision Report should be completed by the person making the final decision and the chairman of the selection committee if a committee was used. These reports should be filed in the candidate's folder. A copy of the reports should be submitted to the affirmative action officer.

Selection and Analysis Form

Candidate's Name ______________________________

Position Applying For ______________________________

There are two critical questions that must be considered in promoting, interviewing, and selection. They are "Can the person perform up to the expected level?" and "Will the person perform?" The first question deals with qualifications, abilities, and experience. The second question deals with motivation and desire. Using the rating scale, indicate your assessment of the candidate on these two factors.

Not Applicable	High Ability and Potential			Average Ability and Potential			Low Ability and Potential		Don't Know
NA	8	7	6	5	4	3	2	1	X

Can Do *Will Do*

______ ______ 1. Is professionally competent as evidenced by degrees and experience, and will continue to develop professional competence by attending conferences, doing research, writing, etc.

______ ______ 2. Is intelligent and has academic ability and potential for continued development.

______ ______ 3. Is physically healthy and is interested in maintaining health.

______ ______ 4. Shows ability for this position and will grow into it.

______ ______ 5. Is professionally active in associations and will continue or become more active.

______ ______ 6. Cooperates with superiors, peers, students.

______ ______ 7. Is able to motivate students.

______ ______ 8. Is skilled in organization of subject matter and the teaching/learning process.

______ ______ 9. Understands the importance of planning, follow-through, and performance of himself and others.

______ ______ 10. Is and will be positive, empathetic, and fair.

______ ______ 11. Is able to motivate others to high achievement.

______ ______ 12. Is able to verbalize, write, and illustrate effectively.

______ ______ 13. Is able to develop rapport with others.

______ ______ 14. Maintains employment for acceptable length.

______ ______ 15. Is able and willing to work in excess of minimal demands.

______ ______ 16. Is able to develop loyalties to institution.

______ ______ 17. Is self-reliant and perseverant.

______ ______ 18. Exercises leadership even in difficult situations.

______ ______ 19. Works with others, but is not dependent.

______ ______ 20. Is able to make decisions and accept consequences.

______ ______ 21. Is self-disciplined.

______ ______ 22. Is unselfish and sharing with others.

______ ______ 23. For the most part, is free of cynicism and negative attitudes.

______ ______ 24. Is able and willing to excel and strive for perfection.

______ ______ 25. Needs status and power.

A cumulative score is less important than matching the responses on the various items with the job specifications and requirements for the position for which the candidate is being considered.

List the candidate's strengths:

List the candidate's weaknesses:

Recommendation to employ: Yes___ No___ Reasons:

Rating by ____ Date______

Selection Analysis Form

Instructions:

PART I: Position information; text describing the job and publications listing the job advertisement; full job description sent to inquirers; list of individual graduate schools, women and minority caucuses, and others contacted.

PART II: Analysis of applications received and of candidates corresponded with further. List of the top candidates interviewed. Part II must be reviewed by affirmative action officer before college funds will be released for travel expenses related to interviewing.

PART III: List of 3-5 top candidates. Part III must be reviewed by affirmative action officer before offer will be made.

PART I:

1. Department __________ Date of this report __________
2. Position __________ Date service to begin __________
3. Job advertisement

   Text:

   Was placed:

   Publication __________ Dates __________

   Publication __________ Dates __________
4. Full job description to be sent to inquirers: Please type on reverse side.
5. Individuals contacted:
   - Women's organizations
   - Minority organizations
   - Graduate Schools
   - Other

Signature ____________________
Department Chairman/Chairwoman Date

____
Affirmative Action Officer Date

176

PART II:

1. Record of number of applications received or candidates considered initially:

	MALE	FEMALE	TOTALS
Negro			
Spanish-surnamed			
American Indian			
Oriental			
Other			
TOTALS			

2. Record of number of candidates corresponded with further:

	MALE	FEMALE	TOTALS
Negro			
Spanish-surnamed			
American Indian			
Oriental			
Other			
TOTALS			

3. List of top candidates interviewed or to be interviewed:

	NAME	BACKGROUND
1.		
2.		
3.		
4.		
5.		

Are there (other) women or minority candidates very close to being included on this list? If so, please list.

Signatures ____
Department Chairman/Chairwoman — Date

____
Affirmative Action Officer — Date

PART III:

1. List of top candidates for job offer:

	NAME	BACKGROUND
1.		
2.		
3.		
4.		
5.		

Are there any women or minority candidates very close to being included on this list? If so, please list.

Signatures ____

Department Chairman/Chairwoman Date

____

Affirmative Action Officer Date

Candidate's Name ____________________

Position Applied For ____________________

Selection Decision Report

1. For candidate not being recommended for hire, explain. Decision must be shown to be based on job-related factors, and the candidate's qualifications, or lack thereof, must correlate to the qualifications required in the position as indicated in the job description.

2. If candidate has been recommended for appointment, explain basis for the decision.

3. Additional comments, if applicable.

____
Selection Committee Chairperson,
Supervisor or Department Chairperson

____
Date

Document 4-10

Title: Sample Recruitment Letters

Source: Benjamin E. Sprunger and William H. Bergquist, adapted from letters used by various colleges and universities

General Description:

There are a number of basic courtesies that should be extended to candidates. Among these is to provide as much information as possible to the candidate, including the interview schedules with people's names, titles, dates, times, and places. Much of this information can be communicated by letter. Communicating in detail with the candidate also requires working out details in advance and as such increases the potential productivity and effectiveness of the interviewing process.

Instructions for Use:

Although not covering every circumstance, the following letters may be used as guides in composing letters to candidates.

Sample Letters

Letter inviting candidate for interview:

Dear ____________________:

The Search and Screening Committee has reviewed your credentials and would like to invite you to a one-hour interview on Thursday, September 13, 1978, at 4:00 p.m., in Conference Room 6 of the Library. The Committee, consisting of ten individuals, will question you on your qualifications for the position and related matters.

The names and positions of the committee members are listed below. If you cannot make this interview, please call me at 946-1616. We look forward to meeting with you.

Sincerely yours,

* * *

Letter to candidates after interview:

Dear ____________________:

The Search and Screening Committee was pleased to meet with you and should let you know something definitive by October 1, 1978. If in the meantime you have questions, please do not hesitate to call me.

Sincerely yours,

* * *

Letter sent to candidates not recommended to be interviewed by the President:

Dear ____________________:

The Search and Screening Committee has reviewed your application for the position of Division Chairman, General Education, Business Administration and Public Services. They were favorably impressed by your educational background and experience.

After careful consideration, the Committee has decided to recommend another candidate for this position. However, we will hold your application in case any other administrative positions present themselves in the future.

In the meantime, we wish you the best in finding a position that will challenge your interests, education, and experience.

Sincerely yours,

Letter sent to candidates recommended for interview by President, but unsuccessful in achieving the position:

Dear ____________________:

The Search and Screening Committee and I were pleased to discuss with you the position of Chairman, General Education, Business Administration and Public Services. We were most favorably impressed by your qualifications and interest in the position.

However, there were several very qualified candidates, and after difficult deliberation and careful consideration, we have decided to offer this position to another individual. We shall, of course, hold your application in case any other administrative positions present themselves in the future.

In the meantime, we wish you the best in finding a position that will challenge your interests, education, and experience; and we thank you for giving us the opportunity to interview you for this one.

Sincerely yours,

* * *

Letter to be sent to candidates who withdraw their applications:

Dear ____________________:

On behalf of the Search and Screening Committee I should like to write and thank you for your willingness to become involved in our selection process for the position of Assistant Dean of Community Services.

We are only sorry that we were not able to meet with you and acquaint you with our college.

Sincerely yours,

Document 4-11

Title: Summary Report of Recruitment Activities

Source: Mankato State University

General Description:

The Mankato State "Recruitment Report" can serve as a model for a checklist that indicates the steps taken to comply with affirmative action guidelines.

Instructions for Use:

A written report on the recruitment, evaluation, and selection process should be forwarded to the affirmative action officer along with the completed appointment form (see *Document 4-12*). The affirmative action officer should evaluate the report for compliance with the institution's affirmative action plan. All applications and other materials collected during the selection process should be sent to the affirmative action officer who will keep them on file in accordance with federal regulation. Departments will have access to the files through the affirmative action officer.

Applications received from:

__Caucasian men; __Caucasian women; __minority men; __minority women.

Applications resulting from advertisements:

__Caucasian men; __Caucasian women; __minority men; __minority women.

Applications resulting from professional organizations referral:

__Caucasian men; __Caucasian women; __minority men; __minority women.

Applications resulting from personal referral:

__Caucasian men; __Caucasian women; __minority men; __minority women.

Candidates interviewed:

__Caucasian men; __Caucasian women; __minority men; __minority women.

Job offered:

__Caucasian male; __Caucasian female; __minority male; __minority female

Recommendation for appointment made by (list members of search committee if appropriate): ____

____

____

If a woman or a minority candidate is not being recommended for hiring in this position, please explain: ____

____

____

____

____

____

Attach: (1) Vacancy notice
(2) Copies of advertisement, name and date of publication
(3) Recommendation of Search Committee
(4) Records of actions taken
(5) All applications

Date: ______________________________

Report on Recruitment Procedures Used

in the Selection of ______________________________
Name

as__________ in ______________________________
Rank Unit

This Is a Full-Time Appointment

Please answer the following:

___ ___ Announcement was posted in department office ______________________
date

___ ___ Announcement was posted in college office ______________________
date

___ ___ Announcement was sent to Director, Center for Career Development and Placement ____
date

___ ___ Announcement was sent to Director, Minority Groups Studies Center ____________
date

___ ___ Announcement was sent to Coordinator, Women's Programs ______________
date

___ ___ Announcement was sent to Association of Faculty Women ______________
date

___ ___ Announcement was sent to News Bureau Director ______________________
date

___ ___ Announcement was sent to Editor, Campus Newspaper ______________
date

___ ___ Announcement was sent to Affirmative Action Officer ______________
date

___ ___ Announcement was sent to Minority Groups Representative, State Department of Manpower Services ______________________
date

___ ___ Announcement was sent to Executive Director, Higher Education Resource Service, Brown University, Box 1901, Providence, Rhode Island 02912 ______________
date

___ ___ Announcement was sent to the vice-president for academic affairs and placement officer at local colleges ______________________
date

___ ___ Announcement was sent to the vice president for academic affairs and placement officer at Black colleges ______________________
date

___ ___ Announcement was sent to a state agency for the handicapped ______________
date

___ ___ Announcement was sent to The Higher Education Branch of the Office of Education of the United States Department of Health, Education and Welfare, Manpower U.S.F., Washington, D.C. 20202 ______________________
date

___ ___ Announcement was sent to The Higher Education Branch of the United States Department of Labor, Washington, D.C. 20212 ____________________
date

___ ___ Announcement was sent to the following professional organizations:

____

____

____

____

____

____

Document 4-12

Title: Appointment of Personnel

Source: Mankato State University

General Description:

Once a selection committee has made a decision concerning the candidate it wishes to recommend for the position, it should advise the department chairperson in writing of its decision and the justifications for such. The department chairperson should then proceed with the appointment procedure as appropriate. An appointment form (P-2) should be filled out for the candidate after he has accepted the position.

Instructions for Use:

The "Appointment of Personnel" form requires the following steps (the number of each step corresponds with the number noted on the appointment form):

1. Enter the appropriate school/division and department/program to which the new appointee is being appointed.
2. Enter the name, social security number, phone number, address, and zip code of the new appointee.
3. *Period of contract.* Enter a check mark by the following as appropriate: the number "9" denotes a nine-month appointment for the regular academic school year; the number "12" stands for a regular twelve-month appointment which covers the entire fiscal year—July 1 to June 30; the designation of "10½" is used to indicate a regular academic year appointment plus one summer session or the equivalent. The term "other" is for special appointments, for example, teaching a summer session only.
4. *Prior incumbent.* Enter the name of the person who filled the job previously; if the position is new, indicate "new position."
5. *Title* (other than professorial rank). Enter title of the position, if the position is assigned a title. Some examples of titles appropriate here include program leader, department chairperson, director of financial aids, etc. The rank accorded to a teaching faculty member is not to be indicated in this space.
6. *Dates of contract.* Enter the beginning and ending dates of the employment agreement.
7. *Contract type.* Enter the contract type: *tenure,* for appointees being granted tenure with this contract; *probationary,* for those staff members being employed in a permanent position who will later be eligible for tenure; *fixed-term,* for those employed for a fixed period of time, not to exceed one year in length; *administrative,* for appointments of an administrative nature which do not hold tenure or rank.
8. *Rank.* Enter the rank of a new appointee as appropriate. If none of the ranks listed are applicable, fill in one of the following in the space provided: administrative, adjunct professor, visiting professor, guest lecturer, substitute.
9. *Position Number.* Enter number assigned by the Personnel Office for each position allocated to the university.
10. *Account number.* Enter the number assigned as part of the university accounting system to each unit; the account number must correspond to the department/unit from which the appointee will be assigned.

11. *Base salary.* Enter the base salary the appointee would be paid based on a nine- or twelve-month full-time appointment. It should be noted that base salary and actual salary may be different if the staff member works more or less than the normal nine-month contract period, or less than the twelve-month contract period. For example, if a staff member is appointed to each quarter part-time, the base salary would be the same as that of an individual who works full-time for nine months. The appointee's base pay will depend on the *education, experience,* and *academic rank* of the person being employed. The department chairperson should contact the Personnel Office, which will help determine the base salary of the appointee based on the three preceding factors.

12. *FTE.* Enter the proportion of a full-time position that is being assigned this appointee based on a budgetary FTE (Full-Time Equivalent). Full-time equivalent is determined by dividing the actual or contract salary into the base salary. For example, if a staff member is being appointed to a half-time position for the entire nine months, the FTE would be .5.

13. *Contract salary.* Enter the actual amount to be paid for the period covered under this appointment.

14. *Explanation.* If the above information does not sufficiently explain the appointment being made, these lines are provided for the department chairperson to explain what this appointment will accomplish. For example, "This appointment is being made to replace Ms. Smith while she is on sick leave."

15. *Required documents for this appointment.* The appointee's transcripts and credentials are required for review by the appropriate vice-president. The affirmative action recruitment/selection reports are those required by the affirmative action plan.

16. Information requested below the dotted lines will be completed by the appropriate administrator or administrative office.

Form P-2

Appointment of Personnel

1. ______________________ School/Division ______________________ Department/Program

______________________ Appointee's Name 2. ______________________ Social Security No. ______________________ Phone Number

______________________ Home Address Street City State ZIP

3. Period of Contract:
9 ___
10½ ___
12 ___
Other ___

4. ______________________ Prior Incumbent

5. ______________________ Title (Other than Professorial Rank)

6. Dates of Contract:
Begin ______________________ Month/Day/Year
End ______________________ Month/Day/Year

7. Contract Type:
Tenure ___
Probationary ___
Fixed Term ___
Administrative ___
Grad/Intern ___
Grad Assistant ___

8. Rank:
Professor ___
Associate Professor ___
Assistant Professor ___
Instructor ___
Assistant Instructor ___
Other ______________________

Position Number	Account No.	Base Salary	FTE	Contract Salary
9.	10.	11.	12.	13.

14. Explanation: ______________________

____

15. Required Documents for this Appointment:

	Attached	If Not Attached, State Reason/Location
1. Appointee's Transcripts	( )	______________________
2. Appointee's Credentials	( )	______________________
3. Affirmative Action Recruitment/ Selection Reports	( )	______________________

16. ....

Approvals ______________________ Department/Program Chairperson ______________________ Dean/Division Chairperson ______________________ Dean/Graduate School (For Graduate Assistants)

Affirmative Action Compliance: ____________________ ____________________
Affirmative Action Officer Date

Personnel Office: ____________________ ____________________
FTE/Salary Approved Date

Appointment Approved: ____________________ Letter of Intent Sent: ______
Appropriate Vice President Date Date

Personnel Office

Appointment Loaded: ________
Date

Contract Prepared: ______ Contract Sent: ______ Contract Returned: ______
Date Date Date

Mandatory Tenure Date: ____________ Bargaining Unit Designation: ____________
(for probationary appointments)

Leave records noted: ________________

Payroll Office

Finance Position No.: ____________ Account ID: ____________________

Document 4-13

Title: Sample Grievance Procedures

Source: Martha Matthews and Shirley McCune, "Title IX Grievance Procedures: An Introductory Manual," U.S. Office of Education. Also sample institutional grievance procedures from Claremont Colleges

General Description:

While an amicable and productive work environment is the desire of most, there are occasions that may require differences to be resolved without placing the staff's or supervisor's future in jeopardy. Moreover, federal anti-discrimination regulations require most institutions to have on file procedures for redress of discrimination grievances.

The following is a sample of a Title IX grievance procedure which might be used by a local education agency or an institution of postsecondary education for the processing of both student and employee complaints of sex discrimination. It provides for the processing of a grievance at three levels of progressive decision making. At Level I, a grievance is heard by an authority at the level most immediate to many grievance occurrences—an individual school within a local education agency, a school or department within a postsecondary institution, etc. Level II decision making is at the central administrative level of the agency or institution. Level III calls for final grievance resolution by the governing body of the agency or institution—the board of education or the board of trustees. The procedure also includes the alternative use of a hearing panel representing various groups within an agency or institution—students, teachers/faculty, administrators, etc.—at Level III.

It may be useful to examine the procedure at three levels of specificity:

First, an "overview flow chart" provides a visual representation of the levels for grievance processing and the major steps within the processing sequence.

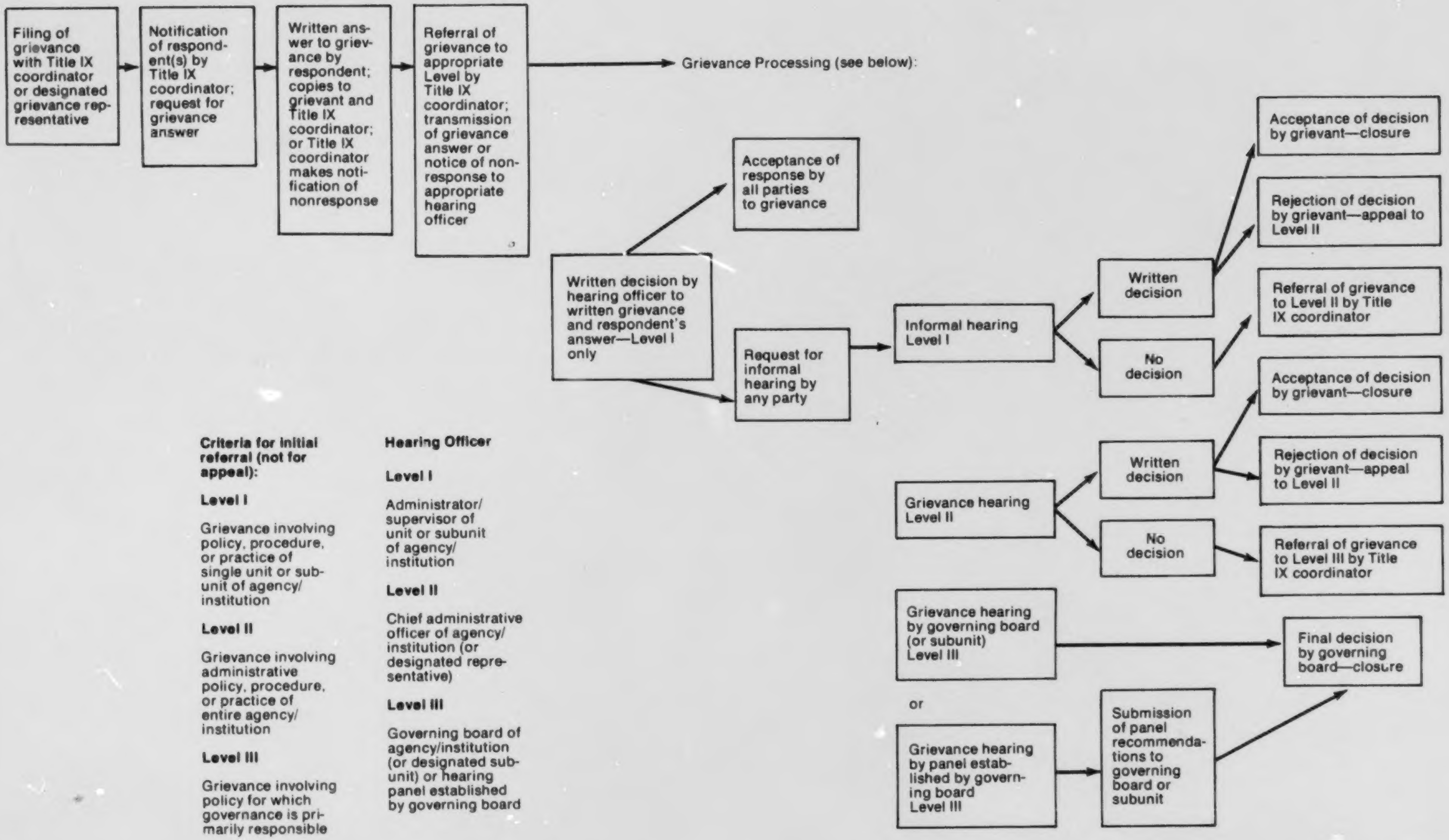
Second, four charts specify a detailed sequence and timeline of grievance activities and tasks, and the persons involved in each, for the major phases of the grievance process: grievance initiation, Level I, Level II, and Level III.

Third, the sample grievance procedure itself is presented. The actual clauses are written in formal grievance language, and comments are provided in nontechnical style to interpret the significance or rationale of particular classes.

The sample procedure may be used in a variety of ways. Provisions of the sample procedure are designed to specify a process in detail. Some agencies or institutions may wish to adopt this or a similar procedure. Others may wish to adapt or simplify the procedure or to incorporate selected provisions or clauses into their existing grievance procedures. Still others may wish to use the procedure as a general base for comparison and review of their own procedures. It should be remembered that the Title IX regulation does *not* specify the procedure to be used; this example is provided only to illustrate a possible grievance procedure and to suggest one basis for the evaluation of other Title IX procedures.

Grievance procedures can be fully detailed as in the first illustration, or they can be reduced and streamlined as in the sample procedures from Claremont Colleges.

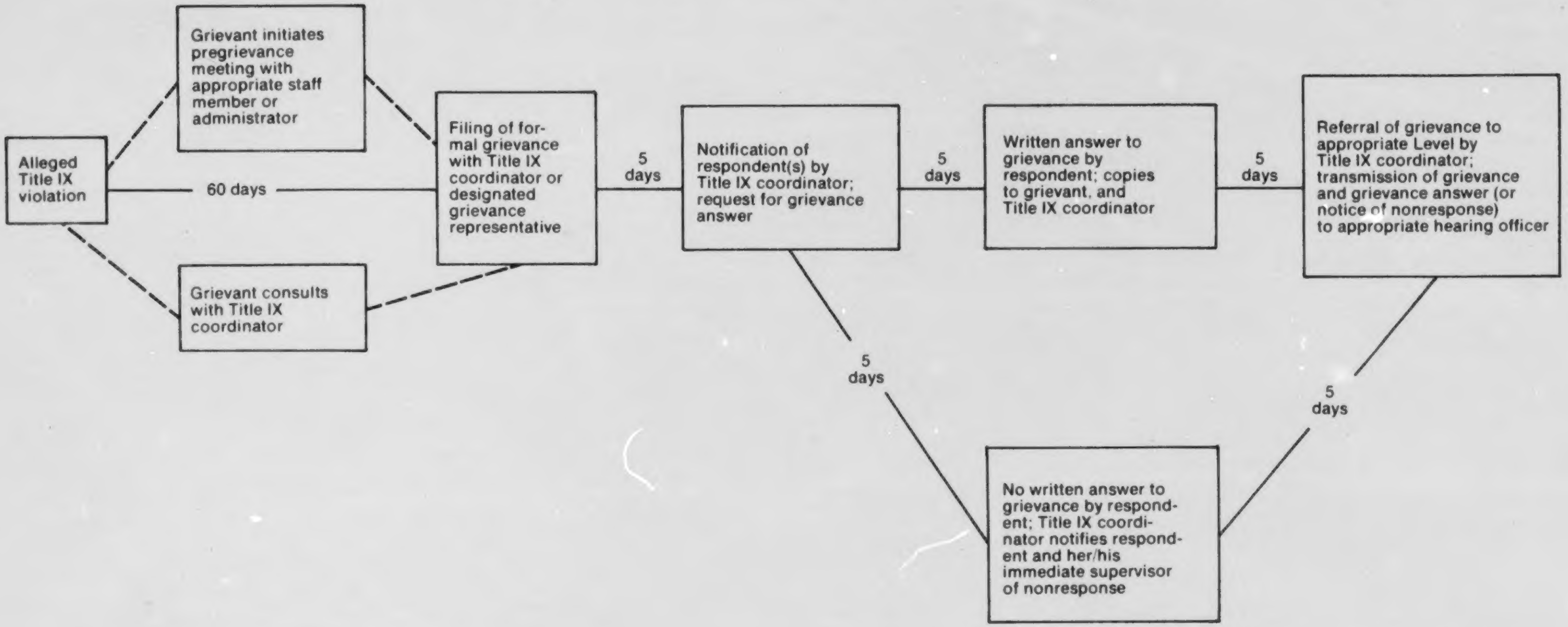
Sample Title IX Grievance Procedure
Overview Flow Chart


Filing of grievance with Title IX coordinator or designated grievance representative
Notification of respondent(s) by Title IX coordinator; request for grievance answer
Written answer to grievance by respondent; copies to grievant and Title IX coordinator; or Title IX coordinator makes notification of nonresponse
Referral of grievance to appropriate Level by Title IX coordinator; transmission of grievance answer or notice of nonresponse to appropriate hearing officer
Grievance Processing (see below):
Written decision by hearing officer to written grievance and respondent's answer—Level I only
Acceptance of response by all parties to grievance
Request for informal hearing by any party
Informal hearing Level I
Written decision
No decision
Acceptance of decision by grievant—closure
Rejection of decision by grievant—appeal to Level II
Referral of grievance to Level II by Title IX coordinator
Grievance hearing Level II
Written decision
No decision
Acceptance of decision by grievant—closure
Rejection of decision by grievant—appeal to Level II
Referral of grievance to Level III by Title IX coordinator
Grievance hearing by governing board (or subunit) Level III
or
Grievance hearing by panel established by governing board Level III
Submission of panel recommendations to governing board or subunit
Final decision by governing board—closure

	Criteria for initial referral (not for appeal):	**Hearing Officer**
Level I	Grievance involving policy, procedure, or practice of single unit or subunit of agency/institution	Administrator/supervisor of unit or subunit of agency/institution
Level II	Grievance involving administrative policy, procedure, or practice of entire agency/institution	Chief administrative officer of agency/institution (or designated representative)
Level III	Grievance involving policy for which governance is primarily responsible	Governing board of agency/institution (or designated subunit) or hearing panel established by governing board

Sample Title IX Grievance Procedure:

Detailed Sequence of Activities: Initiation of Grievance Processing

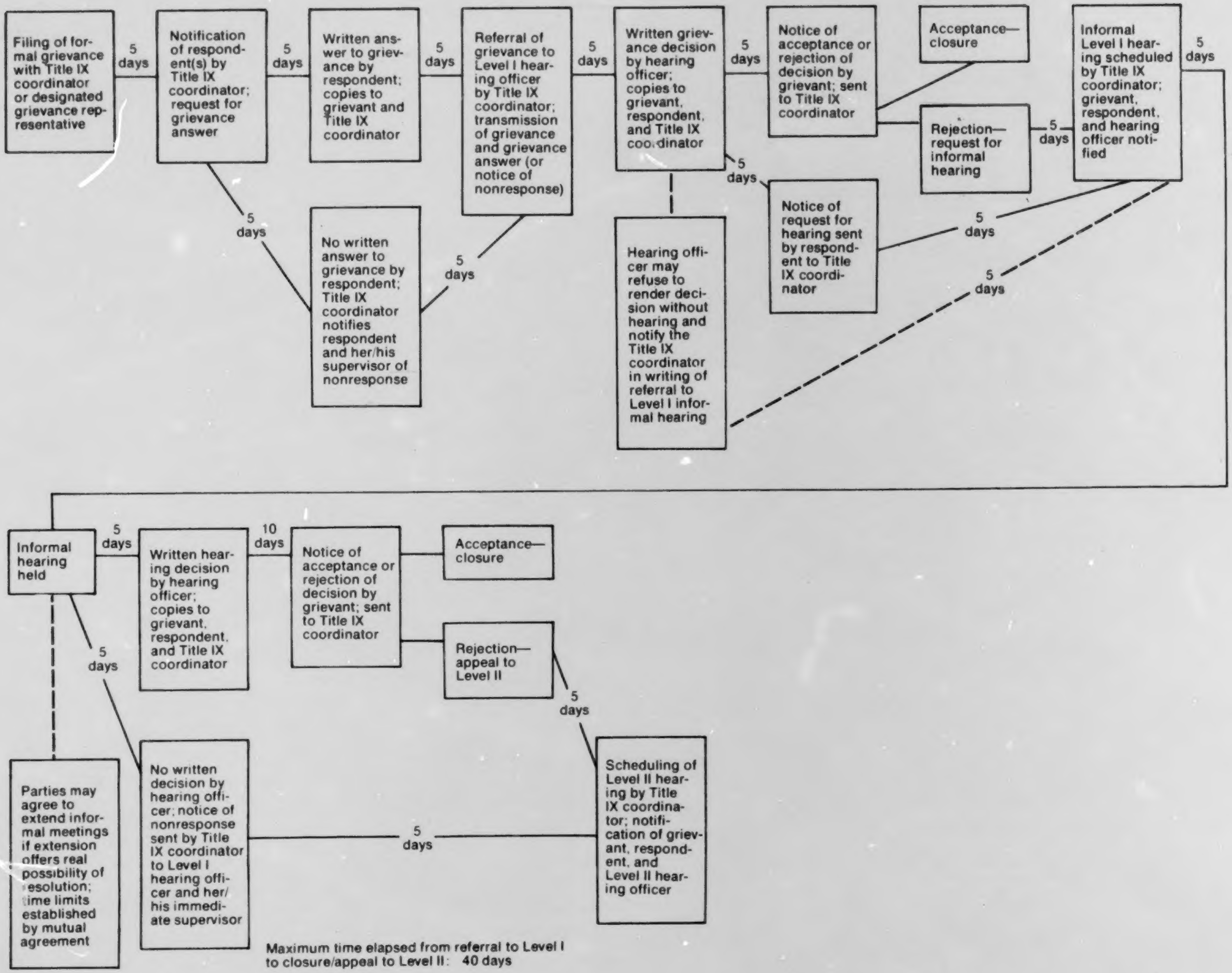

Alleged Title IX violation
Grievant initiates pregrievance meeting with appropriate staff member or administrator
Grievant consults with Title IX coordinator
60 days
Filing of formal grievance with Title IX coordinator or designated grievance representative
5 days
Notification of respondent(s) by Title IX coordinator; request for grievance answer
5 days
Written answer to grievance by respondent; copies to grievant, and Title IX coordinator
5 days
Referral of grievance to appropriate Level by Title IX coordinator; transmission of grievance and grievance answer (or notice of nonresponse) to appropriate hearing officer
5 days
No written answer to grievance by respondent; Title IX coordinator notifies respondent and her/his immediate supervisor of nonresponse
5 days

Maximum time elapsed between alleged Title IX violation and filing of formal grievance: 60 days

Maximum time elapsed from grievance filing to referral to appropriate Level for initial processing: 15 days

Sample Title IX Grievance Procedure

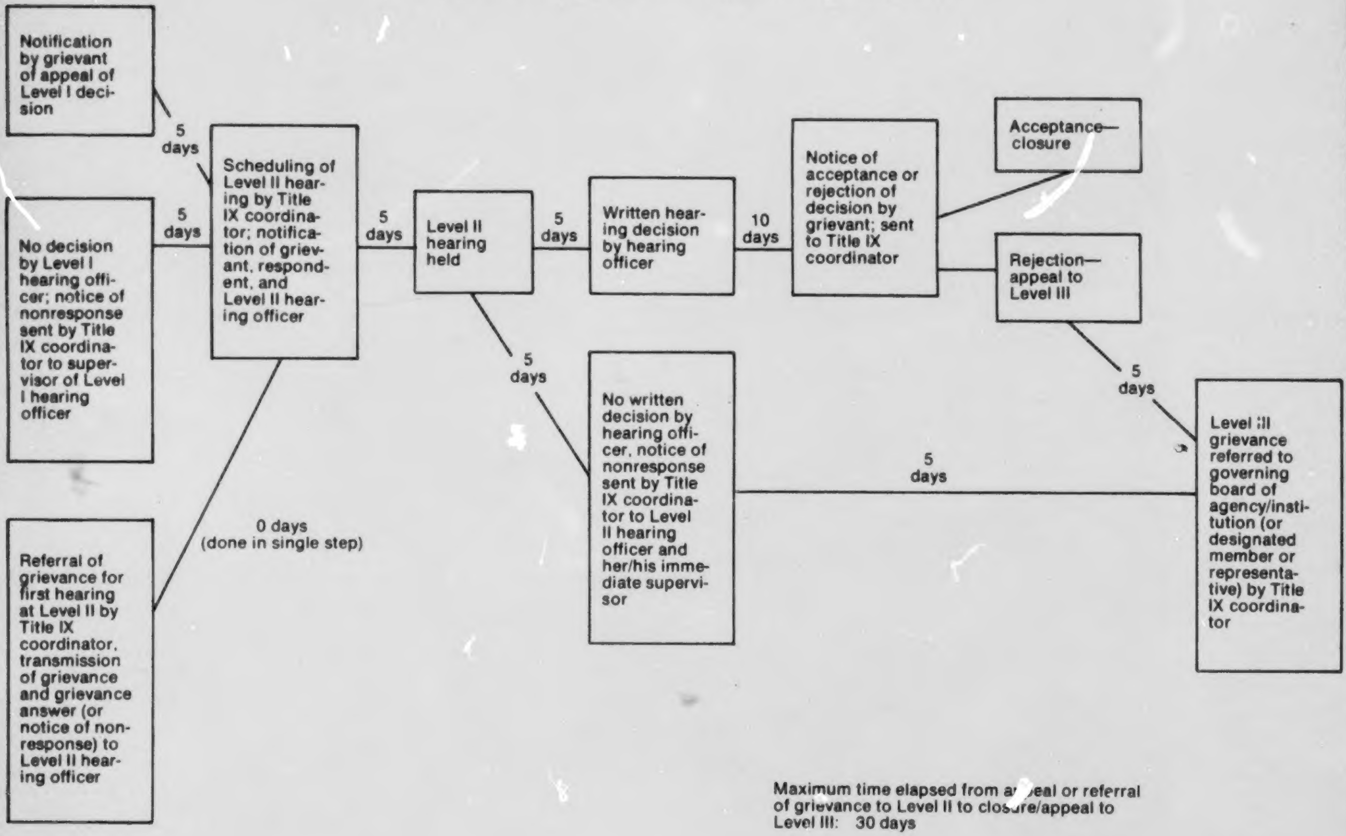
Detailed Sequence of Activities—Level I


Filing of formal grievance with Title IX coordinator or designated grievance representative
5 days
Notification of respondent(s) by Title IX coordinator; request for grievance answer
5 days
Written answer to grievance by respondent; copies to grievant and Title IX coordinator
5 days
Referral of grievance to Level I hearing officer by Title IX coordinator; transmission of grievance and grievance answer (or notice of nonresponse)
5 days
Written grievance decision by hearing officer; copies to grievant, respondent, and Title IX coordinator
5 days
Notice of acceptance or rejection of decision by grievant; sent to Title IX coordinator
Acceptance—closure
Rejection—request for informal hearing
5 days
Informal Level I hearing scheduled by Title IX coordinator; grievant, respondent, and hearing officer notified
5 days
5 days
No written answer to grievance by respondent; Title IX coordinator notifies respondent and her/his supervisor of nonresponse
5 days
5 days
Notice of request for hearing sent by respondent to Title IX coordinator
5 days
Hearing officer may refuse to render decision without hearing and notify the Title IX coordinator in writing of referral to Level I informal hearing
5 days
Informal hearing held
5 days
Written hearing decision by hearing officer; copies to grievant, respondent, and Title IX coordinator
10 days
Notice of acceptance or rejection of decision by grievant; sent to Title IX coordinator
Acceptance—closure
Rejection—appeal to Level II
5 days
Scheduling of Level II hearing by Title IX coordinator; notification of grievant, respondent, and Level II hearing officer
5 days
No written decision by hearing officer; notice of nonresponse sent by Title IX coordinator to Level I hearing officer and her/his immediate supervisor
5 days
Parties may agree to extend informal meetings if extension offers real possibility of resolution; time limits established by mutual agreement

Maximum time elapsed from referral to Level I to closure/appeal to Level II: 40 days

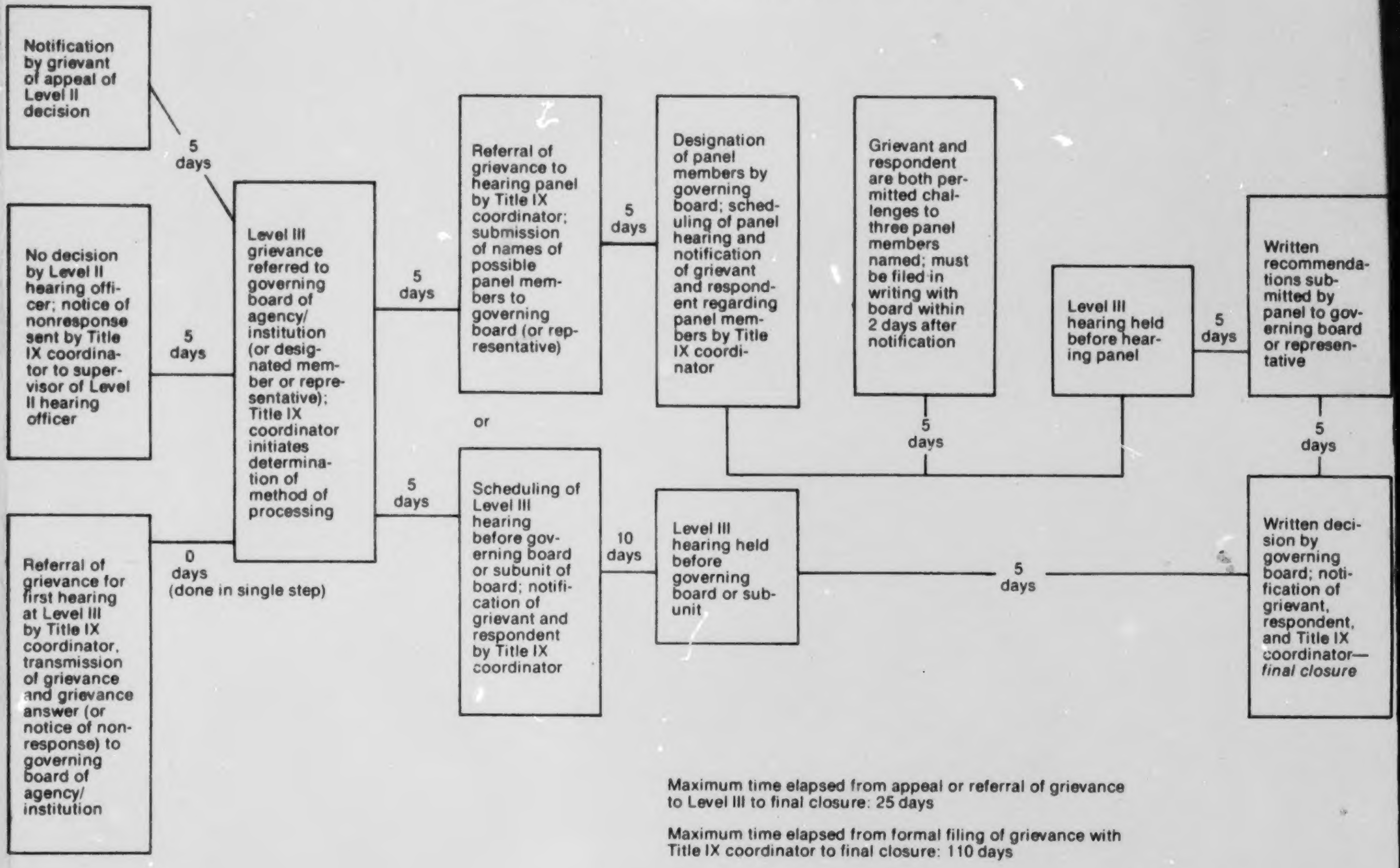
Sample Title IX Grievance Procedure

Detailed Sequence of Activities—Level II


Notification by grievant of appeal of Level I decision
5 days
No decision by Level I hearing officer; notice of nonresponse sent by Title IX coordinator to supervisor of Level I hearing officer
5 days
Referral of grievance for first hearing at Level II by Title IX coordinator, transmission of grievance and grievance answer (or notice of nonresponse) to Level II hearing officer
0 days (done in single step)
Scheduling of Level II hearing by Title IX coordinator; notification of grievant, respondent, and Level II hearing officer
5 days
Level II hearing held
5 days
Written hearing decision by hearing officer
10 days
Notice of acceptance or rejection of decision by grievant; sent to Title IX coordinator
Acceptance—closure
Rejection—appeal to Level III
5 days
No written decision by hearing officer, notice of nonresponse sent by Title IX coordinator to Level II hearing officer and her/his immediate supervisor
5 days
5 days
Level III grievance referred to governing board of agency/institution (or designated member or representative) by Title IX coordinator

Maximum time elapsed from appeal or referral of grievance to Level II to closure/appeal to Level III: 30 days

Sample Title IX Grievance Procedure
Detailed Sequence of Activities—Level III


Notification by grievant of appeal of Level II decision
5 days
No decision by Level II hearing officer; notice of nonresponse sent by Title IX coordinator to supervisor of Level II hearing officer
5 days
Referral of grievance for first hearing at Level III by Title IX coordinator, transmission of grievance and grievance answer (or notice of nonresponse) to governing board of agency/institution
0 days (done in single step)
Level III grievance referred to governing board of agency/institution (or designated member or representative); Title IX coordinator initiates determination of method of processing
5 days
Referral of grievance to hearing panel by Title IX coordinator; submission of names of possible panel members to governing board (or representative)
or
5 days
Scheduling of Level III hearing before governing board or subunit of board; notification of grievant and respondent by Title IX coordinator
5 days
Designation of panel members by governing board; scheduling of panel hearing and notification of grievant and respondent regarding panel members by Title IX coordinator
Grievant and respondent are both permitted challenges to three panel members named; must be filed in writing with board within 2 days after notification
5 days
Level III hearing held before hearing panel
5 days
Written recommendations submitted by panel to governing board or representative
5 days
10 days
Level III hearing held before governing board or subunit
5 days
Written decision by governing board; notification of grievant, respondent, and Title IX coordinator—*final closure*

Maximum time elapsed from appeal or referral of grievance to Level III to final closure: 25 days

Maximum time elapsed from formal filing of grievance with Title IX coordinator to final closure: 110 days

Title IX Grievance Filing Form

Date ____________________

Your name ____________________

Your school and/or position ____________________

Place where you may be reached ____________________

Address ____________________

Telephone Number ____________________

Nature of your grievance (Please describe the policy or action you believe may be in violation of Title IX and identify any person(s) you believe may be responsible.)

If others are affected by the possible violation, please give their names and/or positions.

If you wish, please describe any corrective action you would like to see taken with regard to the possible Title IX violation or provide other information relevant to this grievance.

____
Signature of grievant

____
Signature of person receiving grievance

____
Place of grievance filing

____
Grievance number

Grievance Case Record
Filing and Initial Processing

Name of grievant(s) ____________________

School and/or position ____________________

Nature of grievance Student ☐ Employee ☐

Specific grievance

____

____

____

Suggested corrective action, if given ____________________

____

____

Any pregrievance contacts Yes ☐ No ☐

Date grievance filed __________ Place grievance filed ____________________

Level of initial consideration Level I ☐ Level II ☐ Level III ☐

Identified respondent __________ Date notified __________ Date ans. rec'd. __________

Identified respondent __________ Date notified __________ Date ans. rec'd. __________

Respondent's answer
Agrees with facts ☐
Disagrees with facts ☐
Requests hearing ☐

Hearing officer __________ Date notified __________ Date decision rec'd. __________

Decision of hearing officer
Accepts grievant's corrective action ☐
Proposes alternative corrective action ☐
Requires Level I hearing ☐

Grievant's response
Accepts corrective action ☐
Requests hearing ☐

If hearing requested
Date of hearing __________
Time of hearing __________
Place __________
Date notification sent __________

If corrective action accepted
Date of notification of respondent and hearing officer __________
Corrective steps—description and dates

Grievance number ______________________

Grievance Case Record
Level I Informal Hearing

Date of hearing ____________ Time of hearing ____________ Place of hearing ____________

Persons present: Grievant(s) ______________________________

____

Respondent(s) ______________________________

Hearing officer ______________________________

Title IX coordinator or her/his designee: ______________________________

Facts of grievance

Areas of agreement

Areas of disagreement

Corrective actions

Areas of agreement

Areas of disagreement

Hearing officer's decision

Date received ____________________

Content of decision ______________________________

Grievant's response Date of grievant's response ____________________

Decision accepted ____________ Decision appealed ____________________

Corrective steps—description and dates

Scheduling of Level II hearing

Date of notification of Level II hearing

____

Level II officer ____________________
Date of hearing ____________________
Time of hearing ____________________
Place ____________________
Date notification sent ____________________
Materials sent, if any ____________________

____
Grievance number

Grievance Case Record
Level II Hearing

Date of hearing ____________ Time of hearing ____________ Place of hearing ____________

Persons present: Grievant(s) ____________________________

Respondent(s) ____________________________

Hearing officer ____________________________

Title IX coordinator or her/his designee: ____________________________

Facts of grievance

Areas of agreement

Areas of disagreement

Corrective actions

Areas of agreement

Areas of disagreement

Hearing officer's decision

Date received ____________

Content of decision ____________________________

Grievant's response Date of grievant's response ____________

Decision accepted ____________ Decision appealed ____________

Corrective steps—description and dates

Scheduling of Level III hearing

Date of notification of Level III hearing
____
Level III officer ____________
Date of hearing ____________
Time of hearing ____________
Place ____________
Date notification sent ____________
Materials sent, if any ____________

____
Grievance number

Grievance Case Record
Level III Hearing

Date of hearing ________ Time of hearing ________ Place of hearing ____________

Persons hearing grievance: Total board ______ Board subunit ______ Hearing panel ______

Persons present:

Grievant(s) ____

____

Respondent(s) ____

Hearing officers ____

____

Title IX coordinator ____

Facts of grievance

Areas of agreement

Areas of disagreement

Corrective actions

Areas of agreement

Areas of disagreement

Hearing officer's decision

If board, date of decision ____________ Content of decision ____________

Date of notification of grievant/ respondent ____________ ____________

If panel, date of recommendation ________ Content of recommendation ________

Date of board action ____________ ____________

Date of notification of grievant/ respondent ____________

Corrective steps—Description and dates

*Grievance number

Grievance Case Record
Follow-up and Monitoring

Name of grievant(s)

Specific grievance

Corrective action specified in final grievance decision

Date of final decision

Hearing officer

Review of decision for necessary modifications of policy, procedure, or practice

Name of assigned reviewer

Date of review

Modifications needed

Implementation of modifications

Task(s)	Responsible staff member	Schedule for completion

Assistance provided to responsible staff members to facilitate implementation—description and dates

Monitoring of modifications

Task(s)	Schedule for completion	Date accomplished	Problem(s) identified

Recommendations for further action

Recommendations transmitted to

Date transmitted

Action taken

THE CLAREMONT COLLEGES

Pomona College
Claremont Graduate School
Scripps College
Claremont Men's College
Harvey Mudd College
Pitzer College

Staff Grievance Procedure

A Procedure for Resolving Problems and Grievances for Staff Employees of All Levels

The Claremont Colleges Staff Grievance Procedure

The Claremont Colleges attempt to provide sound working relationships among employees, supervisors, and administrators. A way of maintaining those relationships is to have a uniform method of resolving problems or grievances for use by all member colleges and central services.

To make the Grievance Procedure effective, problems must be dealt with promptly. It is the responsibility of the parties representing the Colleges to obtain alternates in order to meet the time limits of the Grievance Procedure.

The following procedure is intended to provide a step-by-step method for the prompt resolution of staff problems.

WHO ACTS	*WHAT ACTION*
	Step One
Employee	Discuss the problem with your immediate supervisor and/or department head.
Supervisor and/or Dept. Head	Discuss the problem with the employee. Poor communication is often the cause of misunderstandings and subsequent problems.
	Step Two
Employee	If Step One has not resolved your problem, tell your supervisor that you wish to discuss the problem with the personnel representative for your college or service. Request a meeting with the personnel representative.
Supervisor	Tell your department head that a meeting has been requested.
Personnel Rep.	Meet with the employee, the supervisor and/or the department head. Try to resolve the problem. The meeting must be held within two working days after it has been requested.
	Step Three
Employee	If Steps One and Two have not resolved the problem, obtain the Staff Grievance Form, Part I, from the personnel representative. Complete the form and return it to the personnel representative.
Personnel Rep.	Issue Part II to supervisor. Complete Part III.
Supervisor	Complete Part II and return it to personnel rep. Each person must complete and return his/her part of the form within two working days.

	Step Four
Personnel Rep.	Forward copies of parts I-III of form to: director of personnel services, employee, supervisor, and/or department head. Retain one copy. Copies must be forwarded within one working day.
	Step Five
Personnel Services	The director of personnel services or his assigned representative will investigate the situation, and if it is possible to resolve the problem by mutual consent of all parties, the case will be closed. If the case is not closed, copies of parts I-IV of the Staff Grievance Form will be prepared for the Staff Grievance Committee (SGC). Copies must be forwarded to the SGC members within five working days.
	Step Six
SGC	The committee will conduct a hearing on the grievance in accordance with approved procedures and submit recommendations to the provost. The hearing must be held within seven working days after the documents have been received from the Personnel Services Office. The SGC chairperson schedules and arranges the hearing. Recommendations of the committee must be forwarded to the provost within three working days following the hearing.
	Step Seven
Provost	The provost reviews the documents to insure that all requirements of this grievance procedure have been satisfied, completes Part VI, and forwards all documents to the appropriate president (if applicable).
President or Provost	The provost (in the case of a central service employee) or the president (in the case of a college employee) will consider the recommendations of the SGC, make a decision and send a written notification of the decision to all parties. The provost will complete Part VI within two working days following receipt of the documents. The provost or president will make a decision and send a written notification of the decision to all parties within five working days following receipt of the documents.

Staff Grievance Committee Procedures

The Staff Grievance Committee of The Claremont Colleges is comprised of seven voting members and the Director of Personnel Services (or his representative) who acts as an ex-officio member and does not have a vote.

The following procedures are designed to give both employee and supervisor a fair hearing.

1. Before the Hearing: The Committee will receive from Personnel Services copies of the complete Staff Grievance Form and any additional written documents. Should any Committee member request clarification of any point in the documents, Personnel Services will issue the same clarification to all other members.
2. Attendance at the Hearing: Committee members, recording secretary, employee with grievance, one other employee of The Claremont Colleges (if desired by employee with grievance to assist in presentation), supervisor and/or depart-

ment head, personnel representative, language interpreter (if requested), other parties (if requested by Committee to present additional information).

3. Presentation at the Hearing: The employee with the grievance will present his/her statement. The supervisor will present his/her statement. The other parties will present additional information. The employee and supervisor may question any of those presenting statements. (The Committee will then consider the grievance in private session and determine its recommendations.)
4. Quorum: The presence of four voting members constitutes a quorum.
5. Conflict of Interest: If a Committee member has been involved in a grievance at any of the steps leading to a hearing, he/she will be expected to disqualify himself/herself. If he/she fails to do so, the Chairperson will have the right to disqualify him/her.
6. Confidentiality: Committee members are prohibited from discussing any grievance with those involved (before or after the hearing) or with friends or other employees.
7. Meeting Place: Hearings will not be held on the campus of the employee presenting a grievance.

As revised 1/1/75

Document 4-14

Title: Job Satisfaction Questionnaire

Source: William H. Bergquist; the first section of the questionnaire is derived from Arthur H. Brayfield and Harold F. Rothe, "An Index of Job Satisfaction," *Journal of Applied Psychology* 35 (October 1951): 307-311

General Description:

It is often useful to collect information about the working conditions of an administrative unit in a college or university. By testing for employee morale on fairly frequent occasions, an administrator can identify and resolve personnel problems before they become major crises. The Job Satisfaction Questionnaire does not simply ask employees to indicate their level of satisfaction with their current job; it asks employees to indicate the sources of their satisfaction and dissatisfaction. Given Herzberg's two-factor theory of work motivation (see Chapter 4), it is useful to collect information on sources of both satisfaction and dissatisfaction.

Instructions for Use:

The "Job Satisfaction Questionnaire" should be distributed to all staff members in a specific administrative unit. Procedures should be employed that ensure that the respondents can fill out the questionnaire confidentially. Once the information from the questionnaire has been collected and analyzed, it should be presented in summary form to all members of the administrative staff. Collaborative problem solving should follow presentation of the information from the questionnaires. Many useful suggestions can be derived from the administrative staff members' responses to the sixth, seventh, and eighth questions of Section II. A supervisor or administrative head who makes use of this simple questionnaire should be willing to consider significant changes in the supervisory relationships or operations of the administrative unit if the questionnaire results indicate a significant need for such change.

The administrative head will find the questionnaire to be even more valuable if he tries to predict what the responses of subordinates will be to the questionnaire. Discrepancies between the supervisor's predicted responses and actual responses can be examined either individually by the supervisor or (preferably) by the supervisor in collaboration with his subordinates.

Job Satisfaction Questionnaire

Section I:

Some college and university jobs are more interesting and satisfying than others. We would like to know how you feel about your job. You are to check the phrase after each statement that most accurately reflects your response to the statement. There are no right or wrong answers. We would like your honest opinion in response to each statement and would appreciate any comments you would like to make about your responses to these statements. Your responses to this questionnaire will be kept confidential.

---

1. My job seems like a hobby to me.

______ Strongly Agree   Additional Comments:
______ Agree
______ Undecided
______ Disagree
______ Strongly Disagree

2. My job is usually quite interesting to me. I rarely get bored.

______ Strongly Agree   Additional Comments:
______ Agree
______ Undecided
______ Disagree
______ Strongly Disagree

3. My friends seem to be more interested in their jobs than I am.

______ Strongly Agree   Additional Comments:
______ Agree
______ Undecided
______ Disagree
______ Strongly Disagree

4. Major parts of my job are quite unpleasant.

______ Strongly Agree   Additional Comments:
______ Agree
______ Undecided
______ Disagree
______ Strongly Disagree

5. I usually enjoy my work more than my leisure time. I look forward to getting to work.

______ Strongly Agree Additional Comments:

______ Agree

______ Undecided

______ Disagree

______ Strongly Disagree

6. Major elements of my job are quite boring.

______ Strongly Agree Additional Comments:

______ Agree

______ Undecided

______ Disagree

______ Strongly Disagree

7. I feel fairly satisfied with my present job.

______ Strongly Agree Additional Comments:

______ Agree

______ Undecided

______ Disagree

______ Strongly Disagree

8. I usually have to force myself to go to work.

______ Strongly Agree Additional Comments:

______ Agree

______ Undecided

______ Disagree

______ Strongly Disagree

9. I am relatively satisfied with my job for the time being.

______ Strongly Agree　　Additional Comments:
______ Agree
______ Undecided
______ Disagree
______ Strongly Disagree

10. I feel that my current job is no more interesting than others that I could get.

______ Strongly Agree　　Additional Comments:
______ Agree
______ Undecided
______ Disagree
______ Strongly Disagree

11. I definitely dislike my work.

______ Strongly Agree　　Additional Comments:
______ Agree
______ Undecided
______ Disagree
______ Strongly Disagree

12. I feel that I am much happier in my job than most other people with whom I associate when away from work.

______ Strongly Agree　　Additional Comments:
______ Agree
______ Undecided
______ Disagree
______ Strongly Disagree

13. During most days I am enthusiastic about my work.

______ Strongly Agree   Additional Comments:
______ Agree
______ Undecided
______ Disagree
______ Strongly Disagree

14. Sometimes, my work seems to be endless—the day never seems to end.

______ Strongly Agree   Additional Comments:
______ Agree
______ Undecided
______ Disagree
______ Strongly Disagree

15. I like my job better than does the average worker.

______ Strongly Agree   Additional Comments:
______ Agree
______ Undecided
______ Disagree
______ Strongly Disagree

16. My job is rarely interesting.

______ Strongly Agree   Additional Comments.
______ Agree
______ Undecided
______ Disagree
______ Strongly Disagree

17. I find my current job to be quite gratifying.

______ Strongly Agree　　Additional Comments:

______ Agree

______ Undecided

______ Disagree

______ Strongly Disagree

18. I am quite disappointed in this job.

______ Strongly Agree　　Additional Comments:

______ Agree

______ Undecided

______ Disagree

______ Strongly Disagree

Section II: Please respond to each of the following open-ended questions.

1. What do you consider to be the principal satisfactions that you find in your current work? Please identify at least two sources of satisfaction, if appropriate.
   a.
   b.
   c.
   d.
   e.
2. What do you consider to be the principal dissatisfactions that you find in your current work? Please identify at least two sources of dissatisfaction, if appropriate.
   a.
   b.
   c.
   d.
   e.
3. Which aspects of your job are inherently interesting to you? These aspects may seem like a hobby to you and may be things that you look forward to when coming to work each day.
   a.
   b.
   c.
   d.
4. Which aspects of your job are particularly boring to you? Which aspects do you dread when coming to work each day?
   a.
   b.
   c.
   d.
5. Do you seem to be more or less satisfied with your job than are the people with whom you work? Why?

6. If you were given the authority to make your work more enjoyable, while remaining productive, what would you do? How would you change your current job to make it more enjoyable or gratifying?

7. What specifically could you do right now to make your job more satisfying?

8. What specifically could your supervisor do right now to make your job more satisfying?

9. Additional comments?

THANK YOU VERY MUCH FOR YOUR THOUGHTFUL
RESPONSE TO THIS QUESTIONNAIRE

Chapter 5

Leading

It is not very difficult to persuade people to do what they are all longing to do.

Aldous Huxley

While planning, organizing, staffing, evaluating, and developing are necessary ingredients of administration in a college or university, successful administrators ultimately depend on the willingness of other people to work toward a common goal. This involves leadership and communication—two elusive but essential aspects of administration.

In this chapter we review several principles, theories, and suggestions that we have found to be particularly helpful to college and university administrators in their daily practice of leading and communicating.

LEADERSHIP

Theories of Leadership

The essence of academic leadership is the ability to meld the priorities and goals of the institution to those of faculty and staff. Institutional missions are achieved by people, and it is administrative leadership that coordinates the functions necessary to reach the mission and its related goals.

The nature and function of leadership have been debated and studied from many different perspectives for many years, and several theories have emerged. Understanding some of the theories of leadership may help the college administrator not only to exhibit leadership himself but also to encourage it in others.

Three leadership theories seem most appropriate to the daily practices of the college or university administrator. They are *trait* theory, *situational* theory, and *interactive* theory.

Before the middle of this century the debate focused on whether leadership was the result of characteristics possessed by a person (trait theory) or the result of a specific and unique convergence of events, needs, roles, and skills (situational theory). According to trait theory, a leader is inevitably a leader; situational theory would have it that leadership is a result of forces that lie outside the leader's control.

For the last forty years most researchers and theorists have concentrated on identifying characteristics (traits) that are common to leaders. A number of studies have found statistically significant correlations between certain traits and leadership abilities. In 1959 Mann reviewed 125 studies of leadership and personality characteristics and found that intelligence and personal adjustment seem to be consistently correlated with leadership.[1] More recently Ghiselli and Davis found the following traits to be linked with leadership: intelligence, social maturity, social interest, strong motivation to achieve, respect for people, and supervisory ability.[2]

These correlational studies may reveal several dominant traits of leadership, but they do not account for the variation in leadership behavior. This can be explained by the situation in which leadership is exhibited. Situational leadership theory suggests that different types of leadership are needed for different times and in different settings. Situational theory is based on the assumption that leadership is dependent upon the willingness of others to follow. People will follow those who they believe will give them what they want, and people want different things in different situations. Therefore, changing situations call for different types of leadership.

Both trait and situational theories of leadership provide valuable insights for college and university administrators. For example, an administrator should recruit and hire people who exhibit leadership traits, but some administrators may be afraid to hire a leader or potential leader. Instead they look for "followership" characteristics (ability to take directions, reliability, cooperative attitudes) when hiring someone and then expect this person also to be able to assume a leadership role. A trade-off between short-range and long-range goals may be necessary. The administrator must decide whether he wants someone for the present who will be a good follower or someone who will be a good leader in the future but may not be very comfortable in his initial position as a follower.

According to situational theory, if an administrator wants a person to become a leader, he should put him in a campus position that has previously produced a number of leaders: a key committee assignment or close work with a particular faculty member or administrator, for example. Conversely, if a key role on campus has been repeatedly filled by individuals who do not exhibit leadership, then it may be the nature of the job (function, roles, expectations, supervisory or subordinate relationships, and supporting human and physical resources) that is preventing incumbents from exerting leadership. The critical incident technique (described in Chapter 4) can often provide valuable clues about the situational determinants of leadership on campus.

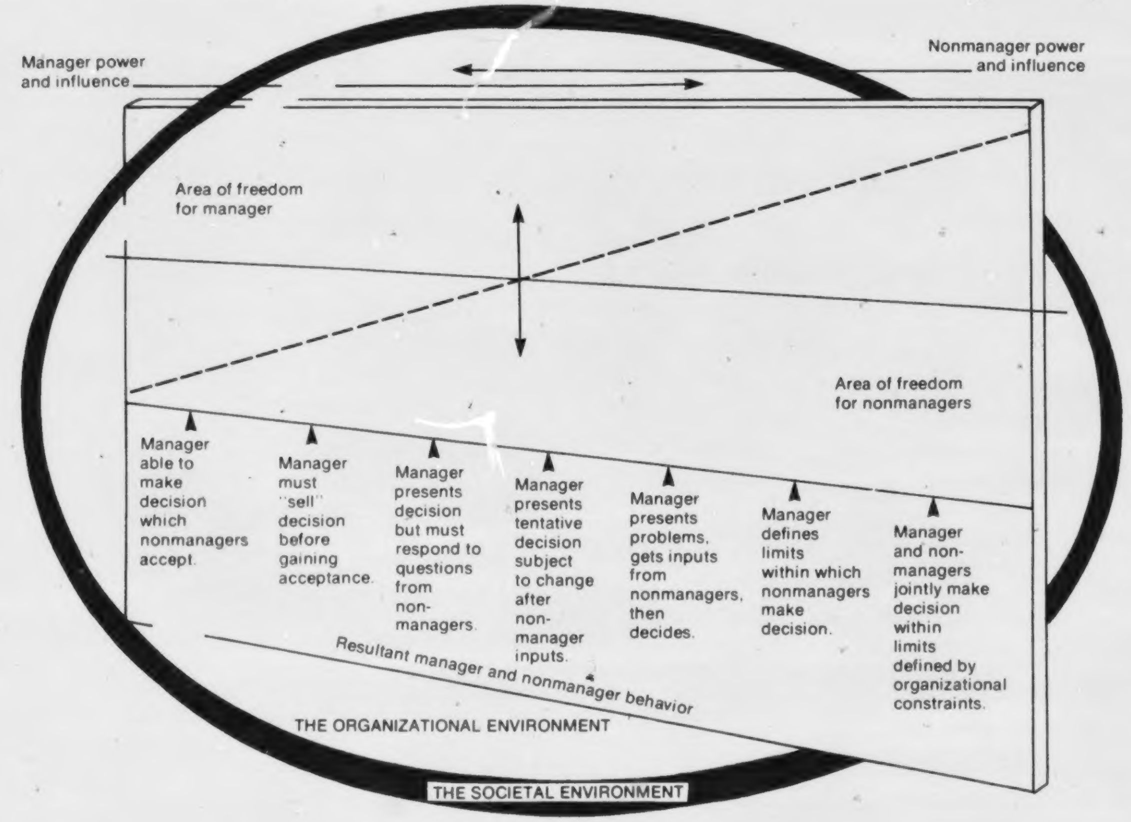
In recent years a new theory, the interactive theory, has emerged. It emphasizes the interaction between the characteristics of the leader and the situation in which leadership is being exerted. Tannenbaum and Schmidt have identified seven different behaviors that they postulate will occur as a result of a certain balance in an organization between the amount of power and influence held by the leader (manager) and that held by the followers (nonmanagers).[3] As illustrated in Figure 5-1, when a manager has considerable power and influence in the implementation as well as the formulation of decisions, then unilateral decision making on the part of the manager will frequently be observed. Conversely, if the manager has limited power and influence—as is frequently the case in higher education—then collaborative decision making is essential. In this situation, leadership is most likely to occur if the manager clearly and consistently relates institutional goals to the goals and needs of those working within the institution. Autocratic behavior under conditions where power and influence are diffused inevitably leads to weak and ineffective leadership.

A related interactional model of leadership has been proposed by Rensis Likert, who identifies four types of leaders.[4] The *exploitive-authoritative* leader has little confidence in other people and rarely involves them in decisions. This style of leadership seems to work best in a hierarchical and production-oriented environment. The *benevolent-autocratic* leader has a condescending attitude towards others. Decision making at lower levels is done within prescribed limits. This style often seems to be dominant in colleges and universities where there is a long tradition of paternalism between administrators and faculty or staff, and between faculty and students.

The third style, *consultative-democratic*, is that of

FIGURE 5-1

Continuum of Leadership Behavior*


Manager power and influence
Nonmanager power and influence
Area of freedom for manager
Area of freedom for nonmanagers
Manager able to make decision which nonmanagers accept.
Manager must "sell" decision before gaining acceptance.
Manager presents decision but must respond to questions from non-managers.
Manager presents tentative decision subject to change after non-manager inputs.
Manager presents problems, gets inputs from nonmanagers, then decides.
Manager defines limits within which nonmanagers make decision.
Manager and non-managers jointly make decision within limits defined by organizational constraints.
Resultant manager and nonmanager behavior
THE ORGANIZATIONAL ENVIRONMENT
THE SOCIETAL ENVIRONMENT

---

* Robert Tannenbaum and Warren H. Schmidt, "Retrospective Commentary" in "How to Choose a Leadership Pattern," *Harvard Business Review* 51 (May-June 1973): 167. Copyright 1973 by the President and Fellows of Harvard College.

the administrator who has substantial confidence in his subordinates. Communication flows up and down the organization. There is a high level of trust, and many decisions are made at lower levels. This style of leadership is most effective when the staff is highly trained and professional and when the goals of the institution are clearly defined—unfortunately an infrequent juxtaposition of favorable conditions. The fourth style, *participative* leadership, is found among administrators who are people-oriented, who frequently consult with subordinates and do all they can to help others perform their duties. Communication takes place in a friendly atmosphere and is often directed toward relationships rather than task issues. This style is best suited to organizations of human service (such as colleges) rather than production. Participative leadership may be appropriate in a complex research project involving highly skilled, intelligent, and self-directed people. Under the best of conditions, participative leadership reflects the collegiality for which many colleges and universities strive. Usually neither participative nor consultative leadership is appropriate under crisis conditions or when only a few people in the organization possess the expertise necessary to solve complex technical problems.

The final and probably most sophisticated interactional theory is called the *contingency theory of leadership.*[5] Proposed by Fred Fiedler, the theory holds that the relationship between a leader and members of an organization is the most important factor in determining the leader's influence over the group. Next in importance is the structure of the task, and third, position power. Under most circumstances, if the leader is well liked by a group that has a definite task to perform, and if his position of power is widely accepted by the group, it will be fairly easy for him to be a successful leader. Furthermore, a task-oriented leader performs best under conditions when he has either a great deal of influence over group members or none at all. Leaders who are oriented toward relationships in the group rather than the group's task tend to perform best when they have moderate influence over the group.

"The essence of academic leadership is the ability to meld the priorities and goals of the institution to those of faculty and staff."

In a college or university, Fiedler's theory of contingency leadership predicts that when the situation is either very good or very bad, people will look to a person in a position of power for leadership in moving toward the achievement of goals. When things are going well, members of the institution follow the leader because he is associated with success. When things are going badly, members of the campus community look for strong rather than permissive leadership, which might contribute to even greater disintegration. Under moderately stressful conditions, followers prefer moderate leadership so that everyone has the opportunity to express their ideas and contribute to the improvement of the situation.

In summary, leadership is a product of many factors in a college or university. Traits and situations are certainly important. An effective leader must be both eclectic and sensitive in his application of different leadership styles. No one type of leadership is always appropriate but participative modes may best serve the administrator who lives in the usually turbulent (though not desperate) conditions of the academy.

Motivational Theory

Motivation is an essential ingredient in the administrator's task of getting things done through others. Motivation provides that "something" that makes a person act in a desired way. One of the roles of an administrator is to provide openly and consistently the incentives and environment that encourage others to work toward their own goals and those of the institution.

Most motivation theory is predicated on the assumption that the occurrence of behavior must be explained. The natural state of an organism (a person, an animal, or even an organization) is assumed to be one of rest. Thus any deviation from this state must be accounted for. But an equally viable theory is based on the assumption that the natural state of the organism is one of activity. In this view, one must explain a lack of activity (*demotivation theory*) or the direction of activity (*cognitive theory*).

The distinction is essential because belief in one of the two theories implies a whole system of assumptions and attitudes toward people in an organizational setting. Douglas McGregor, for example, suggests that the style and quality of management in an organization is at least partially determined by the management's theory of human nature and motivation.[6] McGregor's Theory X represents the assumption that activity must be explained and planned for (the cognitive theory), that workers would prefer to remain inactive, that they lack ambition, dislike work, and are basically passive. Theory Y managers, by contrast, tend to view motivation as providing direction rather than inducement. These managers believe that people are inherently creative, find work enjoyable and satisfying, and seek responsibility. Clearly, in some settings Theory X may be a more accurate portrait of human behavior than Theory Y, but generally not in higher education. To some extent, however, whichever theory a manager holds tends to be self-fulfilling. Theory X managers believe their assumptions about human behavior and motivation will be confirmed; and indeed they often are. Most employees do not find working under Theory X managers to be satisfying.

Not all people are motivated by the same needs, nor are all motivated with the same intensity or satisfied with the same rewards. When one need is met, others become important. In fact, most people are never completely satisfied, and human behavior is constantly motivated by new desires and needs. As basic needs are met, higher ones emerge. John D.

Rockefeller is said to have been asked once, "How much does it take to make one happy?" To which he responded, "Just a little more."

Abraham Maslow has developed a theoretical basis for a need hierarchy in which five basic needs are ranked in ascending order—physiological (water, food, shelter, sex), safety (security from danger, loss of food, shelter, job), love (the need to be accepted and to belong), esteem (need for recognition), and self-actualization (self-fulfillment).[7] See Figure 5-2.

Maslow's need theory has been the subject of considerable study, and many researchers believe there to be little relationship between his need hierarchy and actual needs of workers.[8] It is obvious, however, that unless the most basic needs are met (physiological needs and safety), performance will be adversely affected.

Herzberg and others have developed a two-level theory of motivation based on studies of Maslow.[9] Herzberg finds negative motivations (dissatisfiers) and positive ones (satisfiers). The dissatisfiers are usually associated with factors in the working situation (institutional policy, salary, job security, and working conditions). The absence of dissatisfiers, however, does not motivate workers. Herzberg calls factors that prevent or correct dissatisfiers *hygiene factors* and relates them to Maslow's first two needs (physiological and safety). The satisfiers are those things that make people happy in their work. They include achievement, recognition, increased responsibility, challenging work, growth, and development. Herzberg calls the satisfiers *motivators*.

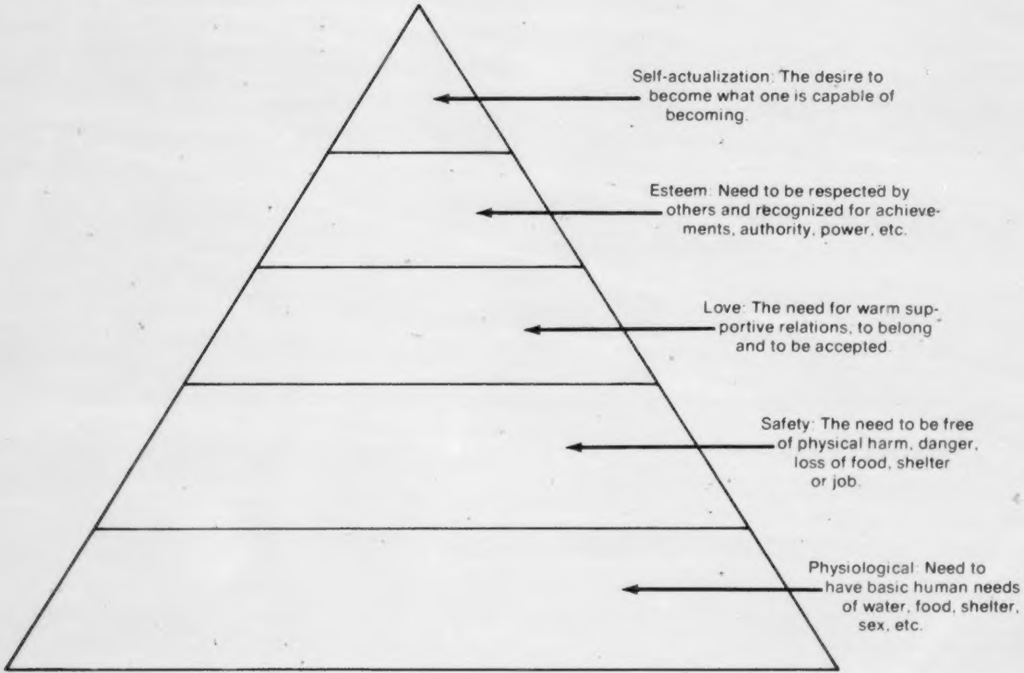
In other words, good working conditions may reduce unpleasantness and dissatisfaction, but they are not in themselves sufficient to motivate. To motivate workers, leadership must appeal to higher-level needs—the satisfiers.

At the Survey Research Center of the University of Michigan, 1533 workers from a variety of occupations and levels were asked to rank work-related needs.[10] They came up with the following list (in descending order): (1) interesting work, (2) enough help and equipment to get the job done, (3) enough information to get the job done, (4) enough authority to get the job done, (5) good pay, (6) opportunities to develop special abilities, (7) job security, and (8) seeing the results of one's work. The list seems to indicate that money (number 5) is not as important as might have been expected. Salary can never be dismissed as a motivator, however. The income level of the worker might also have a lot to do with the importance of money. At the higher levels, high salaries may be taken for granted, whereas a low-income worker may list a better salary as the first priority.

David McClelland and others suggest three types of motivating needs: the need for power, the need for affiliation, and the need for achievement.[11] This need structure is especially applicable to higher education administration where power is important to many. The need to affiliate is shown in the tight-knit

FIGURE 5-2

Maslow's Hierarchical Need Pyramid


Self-actualization: The desire to become what one is capable of becoming.
Esteem: Need to be respected by others and recognized for achievements, authority, power, etc.
Love: The need for warm supportive relations, to belong and to be accepted.
Safety: The need to be free of physical harm, danger, loss of food, shelter or job.
Physiological: Need to have basic human needs of water, food, shelter, sex, etc.

academic and social groups of a college or university. And finally, the need for achievement is a driving force, manifested in the desire for challenges and responsibilities.

In short, leadership and motivation seem to be to a large extent determined by the general environment and atmosphere in which the person lives and works. But motivation is complex. Different people are motivated by different situations. In fact, recent research and theory-building about adult development and career paths indicate that needs vary not only from person to person but for the same person at different stages in his life.

The Importance of Adult Development Stages

Studies by Daniel Levinson and his colleagues at Yale University indicate that this is true.[12] Although their studies were severely limited (men only, and only up to the age of forty-five), they produced a scenario that is relevant to the motivating task that faces every administrator. The Levinson findings have been interpreted by Harold Hodgkinson to describe stages of development of male college administrators.[13]

The first stage is that of "leaving the family," which usually occurs between the ages of sixteen and twenty-four. During this period the person is partly in and partly out of the family. His major developmental task is to establish a new "home base" where he can try out adult roles in a search for his own identity. A unique feature about the development of most faculty and many administrators in higher education is that they haven't left the educational system since they first entered it at the age of four or five. When leaving home as a young adult, the college administrator or faculty member does not leave his second home—the educational institution—which provides him with both identity and security. Thus, unlike people in other professions, the college administrator or faculty member is often reluctant to move to another type of institutional setting. Instead he stays within the familiar world of higher education and limits his career options to that world. This restricted perspective is usually even more severe for faculty than for college administrators. As a result some people feel younger administrators should be encouraged at some point in their lives to explore alternative career paths or even do what John Coleman, the former president of Haverford College, did—take a "hard knocks" sabbatical doing manual labor just for the experience of trying something completely different.[14]

For a man between the ages of twenty-two and twenty-nine the developmental task is to enter the adult world, "to arrive at an initial definition of oneself as an adult, and to establish a tentative structure that links this self-definition to the roles and behaviors of adults."[15] Hodgkinson and Levinson highlight the critical role often played by "the dream" and "the mentor." The young college administrator, who usually functions in an assisting staff role, has a dream of his ultimate professional role and achievements. An older administrator (the mentor) frequently serves as a role model for this dream.

At this stage of life the administrator is usually motivated by intangibles, like the interest and praise of his mentor or another respected superior, as well as by low-key and friendly competition with other young administrators. But probably the most important motivation is that there be consistency between the values and goals espoused by the mentor and his actual behavior. At this point in the young administrator's career, money may be less important than status, recognition, and the prospect of professional growth. And the credibility and competency of the mentor or superior may be more important in motivating and directing the young administrator than the actual nature of his job assignment.

The young professional in an institution of higher education differs from his counterparts in other types of organizations in that he is not expected to aspire openly to higher positions in the administrative structure. That is, he is not supposed to be working toward a college presidency; rather, the presidency is supposed to seek him out eventually—if he's the right man for the job. Therefore it is hard to motivate the young administrator with hopes of upward mobility when he either has no such aspirations or is unwilling to admit that he does. Furthermore, very little upward mobility is possible in many colleges because only three or four levels of administration exist in any particular administrative unit. At some point early in his career, the college administrator usually takes the next step upward by moving to another college or university.

"Recent research and theory-building about adult development and career paths indicate that needs vary not only from person to person but for the same person at different stages in his life."

The third developmental stage (age about thirty to thirty-eight) is the time for "settling down" and "moving up," for the administrator to find his own niche within both the organizational and the family setting. As Hodgkinson says:

> . . . [S]ome ambiguity is nicely pointed out in the words *"settling down"* and *"moving up."* There is often conflict here between the putting down of geographical roots, the establishment of a *"permanent"* home, etc., and the need for geographical *mobility* in order to be able to move quickly to a higher-level position in another location.[16]

At this stage the college administrator usually receives his first major administrative assignment, but in order to do so he has to move to another campus because there is little upward mobility and usually no tenure for administrators. This often results in a period of great stress, both in his personal and professional life. "Moving up" may mean loneliness and rootlessness just at the time when "settling in" is most important. Disillusionment and a feeling of alienation may follow, as the administrator in his first line responsibility learns about politcal realities, develops an effective (but at times compromising) administrative style, and begins to discover "what works, what doesn't work, and why."

"The administrator in his later thirties and early forties is usually striving for a top-level job, often at another campus. Not only does this step perpetuate rootlessness, it is often a gamble."

For the administrator in his thirties, several motivations seem to be particularly salient: clear definition of job responsibilities, peer affiliation and support, and job stability but not confinement. Salary level may be important to him now—direct gratification can be delayed only so long. Also at this age level, professional development programs become important, especially if they are geared to personal and organizational concerns as well as job-related issues. (See Chapter 7.) Such a program will be attractive to the administrator in his thirties and help him prepare for the next stage ("becoming one's own man") and succeeding mid-life career transitions.

The administrator in his later thirties and early forties is usually striving for a top-level job, often at another campus. Not only does this step perpetuate rootlessness, it is often a gamble. The administrator may not yet be ready for it. As a result this is often a period of major trial-and-error, where a significant career step is taken but not always successfully. For some administrators a failure at this points is disastrous; they may leave the academic world altogether or turn to full-time teaching. But others are able to learn from their mistakes, especially if they get support and encouragement at the right time and from the right person. This person is often an "insider," someone within the informal network of influence and information in the higher education community (or some subsegment of it). The success of an administrator in his late thirties often depends on his access to this informal network of insiders who have already been through and resolved the major problems and dilemmas of college administration. Because most college administrators have received no formal training for their new high-level positions, the network of insiders can be vitally important.

At this step, family conflicts are likely to arise. According to Hodgkinson:

> The administrator is . . . pushed in too many directions and must be responsible to too many different individuals and groups, and often the family gets shunted aside. . . . A woman who is interested in developing her own *intellectual* and professional competency may find the role of the wife of a major administrator a stultifying one, and this again can put increased pressure on the marriage.[17]

Hodgkinson and Levinson call the period of thirty-nine to forty-three "middlescence." They describe it as a period of transition and acute discomfort for most people. A college administrator at this age must deal not only with the gap between youthful dreams and current job realities, but also with the realization that he has stopped growing *up* and has started growing *old*:

> There is the development of the sense of one's own mortality and the beginnings of the awareness that one's own life is, after all, of limited duration. During this time there may be a number of fantasies about various aspects of life: What would have happened if the person had married a different partner, gone into a different job, gone to a different college or graduate school? This fantasy development plus other characteristics resembling adolescence make the phrase "middlescence" quite appropriate. Interestingly enough, the problem may be *less* severe for the individual who did *not* accomplish The Dream established in Getting into the Adult World; his or her problem is simply a revision downward in expectations. However, for the person who *did* come close to accomplishing The Dream, the midlife transition phase is doubly difficult, because it involves the establishment of a whole new pattern of aspirations and fulfillment.[18]

For the administrator who is experiencing middlescence, motivators must be subtle and individualized. Many a college administrator at this stage of life, and at this professional level, finds his job both gratifying and frustrating. He is making important decisions that should have a significant impact on the institution, and this in itself is usually motivation enough. Yet disillusionment also sets in. He must recognize his own limits—limits to his power, his ability, and even his vision as a leader of the institution. This disillusionment should be dealt with not by offering new or different motivations but by providing him the opportunity to "recharge his batteries" through retreats, sabbaticals, or temporary reassignments.

"Hodgkinson and Levinson suggest that if the college administrator survives the crisis of his early forties, the next period may be one of the best in his life."

Hodgkinson and Levinson suggest that if the college administrator survives the crisis of his early forties, the next period (forty-three to fifty) may be one of the best in his life. According to Hodgkinson:

> New intrinsic goals can be established that will be meaningful, both in terms of one's work and one's entire life as a person. New sources of marital happiness can be discovered, more significant work goals can be established, and the individual can become more fulfilled in more ways than at any stage in the past.[19]

Hodgkinson also notes, however, that if the crisis of middlescence is not effectively resolved, the late forties can be a period of despair and professional decline.

The administrator at this stage of life often establishes new priorities for himself. He may even start a new career path. He may turn to teaching, for example. Loyalty to his institution often increases, and he is better able to balance professional and family responsibilities. He is more likely than his younger colleagues to identify with his college or university, and to be motivated and gratified by its overall accomplishments. At this age, too, he often becomes the mentor to a young administrator and that provides further motivation.

"Communication bridges all administrative functions, touching on both the formal and informal channels of information and control."

Levinson's studies of adult development end at this point, but Hodgkinson continues to speculate about the life of the college administrator. In his fifties the administrator often experiences some limitations of physical energy. The pressures of administration rarely decrease during this decade, but his ability to meet those pressures have probably increased.

> Administrators seldom have a chance to reduce the *formal* demands on their physical energy; however, by this time, most administrators have developed "shunting" mechanisms through which a great deal of detail work can be handled by others, plus greater awareness of what expenditures of energy are really necessary to do the job. A good administrator during these years can develop selective negligence, even though his or her formal load is as heavy as ever. Presidents and other administrators who do not learn to make effective use of their staff can have a particularly difficult time during these years.[20]

For the administrator at this age level, new motivators may emerge as particularly relevant. A belief in his continuing competence may be important: he wants to know that he is still vital to the college or university. He does not want to be "put to pasture" before his time.

Some administrators who reach their prime during this period are ignored or undervalued by a youth-oriented society. On the other hand, an administrator who is just "hanging on" is in a sad position. He knows that he is no longer as valuable to the institution as he once was, yet he has no other career options open. A person in this predicament may feel guilty about it but will defend his current status when confronted by others. Other administrators in this period of life have given up the future-oriented dreams of their youth for a dream of the past (usually highly romanticized). Such an administrator often becomes an informal expert on the history of the institution, using precedents and tradition to justify resisting new ideas or changes in the status quo. But an institutional historian need not be a stumbling block to institutional change. He can become an effective resource if his concern for the experience of the past is respected, and his knowledge put to use in planning for the future.

COMMUNICATION

Since administration involves getting things done through other people, the task of transmitting ideas is central. Communication bridges all administrative functions, touching on both the formal and informal channels of information and control. Without effective communication there can be no planning, delegating, controlling, motivating, evaluating, or developing of human potential. Administrative problems frequently result from inadequate, ambiguous, or nonexistent communication.

There are many factors that can inhibit effective communication. One of the worst barriers to communication is the contradictory message. The communicator may seem to say different things at different times or to different people, or he may say something that is itself contradictory. For example, he may tell a subordinate, "Be spontaneous." To be spontaneous on request is not being spontaneous. Or he may say, "Quit putting yourself down," which implies a positive statement about the person ("You're better than you think you are") and a negative ("You fail to evaluate yourself correctly"). Again, an administrator who tells his assistant, "I wish you wouldn't always agree with me," is issuing an impossible command. The unfortunate person who must try to comply with it is in a dilemma. If he immediately begins to disagree, he is agreeing in a sense (by following orders) although the disagreement is probably not sincere. On the other hand, if he continues to agree when he's been told not to, his position is not much better.

Another type of contradictory message says one thing in words and the opposite nonverbally (tone of voice, expression, and posture). Someone may say, "I'm not at all worried about this project," while all the nonverbal messages his listener receives indicate a high level of anxiety. The only appropriate response to this sort of message—"And there's no reason you should be"—is likely to be just as contradictory.

A third mode of contradiction involves the difference between the verbal message and the customs, habits, and conventions of the group. During most meetings, for example, a "five-minute break" actually lasts fifteen minutes, and a 9:00 a.m. starting time means around 9:30. How can an administrator communicate the message that he wants a five-minute break to be over in five minutes or that a nine o'clock meeting will begin promptly at that time? Does he have to ask for a one-minute break or an 8:30 meeting?

A more potentially destructive contradiction is that between an administrator's public pronouncements and his actual behavior. For example, he may begin a meeting by announcing, "Everyone should feel free to contribute to the discussion," and "We will certainly take your suggestions into account when making our decision," while he has no intention of allowing everyone to speak and will disregard the ideas of all but a small group of people. The disillusionment and frustration that this contradiction can produce are much more destructive than public acknowledgment of his actual intentions. For example, he might say, "As a rule, we encourage newcomers to listen for several meetings before becoming actively involved," or "We usually don't make decisions at this level."

> *"'Moving up' may mean loneliness and rootlessness just at the time when 'settling in' is most important."*

Perhaps most importantly, the structure of an organization influences the structure of its communication networks, which in turn influences morale and the quality of communication. Classical studies of communication networks have found repeatedly that members of a group who are "central"—that is, they send and receive the most messages—tend to enjoy their jobs most, whereas job dissatisfaction is highly correlated with isolation in a communication network.[21] Groups in which every member has an equal chance to send or receive messages (the so-called *circle network* of communication) tend to be most satisfying to all members though not necessarily the most productive over the short run. Communication structures that make one person or group central (*wheel structure*) are usually not satisfying for anyone. The central person or group is overwhelmed with information and responsibility while the peripheral participants feel left out. Administrators who are reluctant to delegate responsibility or to allow subordinates to share information with each other should carefully weigh the personal and organizational costs of a wheel network.

The way in which an institution is organized also may inhibit or facilitate communication. A narrow and tall bureaucratic structure adds layers to the communication system. If administrators believe in the scalar chain of command (a clear line of authority from top to bottom), they must recognize that with increased control comes increased potential for certain types of communication problems. Status in the institutional hierarchy can also create communication difficulties. A subordinate who receives a message from a superior may have difficulty separating the content of the message from his attitude toward the sender. Similarly, the attempts of a subordinate to impress his superior can affect the frequency, quality, and accuracy of messages that he sends.

Even without a wheel network, too much information (information overload) can be as serious a barrier to communication as too little. Since the advent of electronic data processing, electronic communications, word processing machines, and inexpensive copying machines, people have been inundated with reports, proposals, letters, and memos in addition to newspapers and periodical literature. The primary defense against information overload is selectivity—selective attention, selective retention, and selective negligence. Michael Poulas, president of Cal-Western Life, urges administrators to use the telephone instead of writing letters.[22] The costs in time and money of writing, typing, sending, receiving, reading, and filing a written communication are much greater than those of a long-distance telephone call. A great deal of written communication is conducted for governmental regulatory purposes or for the purpose of self-protection rather than achievement of institutional goals. Self-protective acts are symptomatic of significant organizational problems. Information overload and the "white avalanche" of paper often will be overcome only after these more deeply-embedded problems of the organization are addressed.

Another common cause of communication failure is premature response to messages. Sometimes the reaction to a message comes before the speaker has finished expressing a thought, and often a quick response prevents the listener from interpreting the message and reflecting on a reply. This problem pervades contemporary organizations and may, like information overload, simply reflect the rapidly accelerating world of communication. The pace of communication can be slowed through the use of paraphrasing. (See Chapter 4.) A variation on the paraphrasing technique may also be useful. In this method the speaker asks the listener to paraphrase the message and, if he does this accurately, to make three positive statements about it (for example, why the content of the message is useful, informative, and provocative). Only after this has been done should the listener express any objections, concerns, or alternatives he may have.[23]

> *"Not all people are motivated by the same needs, nor are all motivated with the same intensity or satisfied with the same rewards."*

Although there are many other barriers to effective communication, these three—contradictory messages, organizational structure, and premature responses—are the most important in the higher education setting. Even though colleges and universities are committed to the transmission of knowledge, there is something about the structure, norms, and precedents of the academy that seem to encourage poor communication. The goals of the institution are often expressed in contradictory statements. Administrators whose roles are poorly defined and ambiguous often attempt to influence through ambiguous messages. Faculty, who may communicate brilliantly in their own disciplines, see only the flaws and weaknesses of other people's ideas. And often only a few faculty members and administrators have any real comprehension of the overall status of the institution, and they are either unwilling or unable to share their information. Through such failures in communication, misunderstanding and confusion prevail where all should be clarity and logic.

It is not easy to improve the quality of communication in a college but it can be done. In fact, it *must* be done before effective leadership and motivation can move the institution toward the achievement of its goals.

NOTES

1 Richard D. Mann, "A Review of the Relationships Between Personality and Performance in Small Groups," *Psychological Bulletin* 56 (July 1959): 241-270.

2 Edwin E. Ghiselli, "Managerial Talent," *American Psychologist* 16 (October 1963): 631-642. See also Keith Davis, *Human Behavior at Work*, 4th ed. (New York: McGraw-Hill, 1972), pp. 102-104.

3 Robert Tannenbaum and Warren H. Schmidt, "Retrospective Commentary," in "How to Choose a Leadership Pattern," *Harvard Business Review* 51 (May-June 1973): 167.

4 Rensis Likert, *New Patterns of Management* (New York: McGraw-Hill, 1961), p. 9.

5 Fred E. Fiedler, *A Theory of Leadership Effectiveness* (New York: McGraw-Hill, 1967).

6 Douglas McGregor, *The Human Side of Enterprise* (New York: McGraw-Hill, 1960).

7 Abraham H. Maslow, *Motivation and Personality* (New York: Harper, 1954).

8 Douglas T. Hall and Khalil E. Nougaim, "An Examination of Maslow's Need Hierarchy in an Organizational Setting," *Organizational Behavior and Human Performance* 3 (February 1968): 12-35, and Lyman W. Porter, "Job Attitudes in Management: I. Perceived Deficiencies in Need Fulfillment as a Function of Job Level," *Journal of Applied Psychology* 46 (December 1962): 375-384.

9 Frederick Herzberg, *Work and the Nature of Man* (Cleveland: World Publishing Co., 1966), and Herzberg and others, *The Motivation to Work*, 2d ed. (New York: Wiley & Sons, 1959).

10 *Work in America*, Report of a Special Task Force to the Secretary of Health, Education, and Welfare, submittted to the Senate Committee on Labor and Public Welfare, Washington, D.C., February 1973, from William D. Brinckloe and Mary T. Coughlin, *Managing Organizations* (Encino, Calif.: Glencoe Press, 1977), p. 107.

11 David C. McClelland and others, *The Achievement Motive* (New York: Appleton-Century-Crofts, 1953).

12 Daniel Levinson and others, "The Psychosocial Development of Men in Early Adulthood and the Mid-Life Transition," in *Life History in Psychopathology*, ed. David F. Ricks, Alexander Thomas, and Merrill Roff (Minneapolis: University of Minnesota Press, 1974), vol. 3, pp. 243-258.

13 Harold L. Hodgkinson, "Adult Development: Implications for Faculty and Administrators," *Educational Record* 55 (Fall 1974): 263-274.

14 John R. Coleman, *Blue-Collar Journal: A College President's Sabbatical* (Philadelphia: Lippincott, 1974).

15 Hodgkinson, p. 265.

16 Hodgkinson, p. 268.

17 Hodgkinson, p. 269.

18 Hodgkinson, p. 269-270.

19 Hodgkinson, p. 271.

20 Hodgkinson, p. 272.

21 Michael J. Poulas, "Main Event Management," presentation made at "Running Higher Education," a conference sponsored by the Council for the Advancement of Small Colleges (CASC) and the American Association for Higher Education (AAHE), February 1977.

22 Harold J. Leavitt, "Some Effects of Certain Communication Patterns on Group Performance," *Journal of Abnormal and Social Psychology* ed. 46 (January 1951): 38-50. And see Marvin E. Shaw, "Communication Networks," in *Advances in Experimental Social Psychology*, ed. Leonard Berkowitz (New York: Academic Press, 1964), vol. 1, pp. 111-147.

23 This technique has been successfully employed and taught by the Synectics Group in Cambridge, Massachusetts, to help administrators and organizations become more effective as creative problem-solvers and communicators. See George M. Prince, *The Practice of Creativity* (New York: Harper & Row, 1970). For further information on synectics, see also William J. J. Gordon, *Synectics* (New York: Collier, 1961).

Documents
Chapter 5

Document 5-1

Title: The Dilemma of Power

Source: William H. Bergquist, derived in part from two simulations: "The Prisoner's Dilemma." See William H. Bergquist and Steven R. Phillips, *A Handbook for Faculty Development*, ed. Gary H. Quehl (Washington D.C.: The Council for the Advancement of Small Colleges, 1975), vol. 1, pp. 189-194 and "Starpower" (Simili II, 1150 Silvarado Blvd., La Jolla, California 92037)

General Description:

In the personal domain of a college administrator's professional life, the issue of power—its use and absence—is often significant yet frequently ill defined. College administrators are often in positions where they must exert authority under conditions of ambiguous power, or where they are invested with clear power and authority but no clear mandate as to the purposes toward which this power and authority are to be directed. Conversely, many other administrators feel powerless and alienated from the sources of influence and control at their institution.

The "Dilemma of Power" simulation has proved to be a valuable learning experience for both administrators and faculty. It encourages them to examine their own feelings about power and powerlessness. Perhaps even more important, it illustrates in an experiential manner what the price of power can be—hence, the "dilemma." Many participants who acquire power in this simulation report a disturbing loss of freedom. Other participants without power report a sense of freedom and even recklessness as a result of this condition.

Instructions for Use:

Step One: Acquaint yourself with this simulation by reviewing the "Instructions," "Payoff Matrices," and "Score Sheet," which accompany this exercise.

Step Two: A minimum of fourteen people are needed to conduct this simulation. The simulation, as designed, can accommodate a maximum of twenty participants. Materials for this simulation include blank name tags (3 × 5" index cards and pieces of masking tape will do) for each participant, a large pad of newsprint and an easel, several felt-tipped markers, and one set of "Instructions," "Payoff Matrices," and "Score Sheet" for each participant. The word "Alpha" should be printed on four of the name tags, "Beta" on six name tags, and "Gamma" on the remaining name tags. The payoff matrices should be reproduced on two large sheets of newsprint. Fifty sheets of the money that accompanies this exercise should be reproduced. Cut the sheets into individual bills. These represent the "points."

Step Three: A large room should be selected with plenty of open space, at least three tables, and chairs for each participant. The room should be divided into three areas. One of these areas should be spacious and comfortable (large soft chairs, coffee table, fireplace, plants, desk, and so forth). A large sign with the word "Alpha" neatly printed on it should be placed in this area.

A second area should be identified that is smaller and more sparse than the Alpha area. A large sign with "Beta" printed in moderately neat letters should be placed in this area.

The third area, which is small and somewhat messy, should be provided with a torn and smudged sign reading "Gamma." Hard-backed chairs should be placed in-formally (tipped over, stacked up) in this space. The Alpha space should be near the center, at the front, or in a high and somewhat inaccessible location in the room.

Step Four: The participants should be asked to remain outside the room until the simulation begins. They should be given no instructions before entering the room. When the simulation begins, read the following instructions (modified to match your own style and goals):

> You are about to enter a society which in some ways is like our own, yet in other ways is quite different. You will be born into one of three groups in this society: Alpha, Beta, or Gamma. As you enter the room, I (my assistants) will hand you a name tag on which is printed the name of one of these three groups. After you receive the name tag, please go to the area in the room that has been assigned to your group. After you have settled in your group, we will distribute instructions for the simulation and answer any questions you might have.

Step Five: After the participants have been given their name tags and have settled into their groups—but before they have had much time to talk with each other (and before the Gamma group has had enough time to straighten out their area)—the "Instructions," "Payoff Matrices," and "Score Sheets" for Dilemma of Power should be distributed. After several minutes, any questions from the participants should be answered. In a subtle manner, try to answer questions from Alpha members before answering Beta or Gamma questions. Throughout the simulation, this differential should be maintained—but in a subtle manner. Questions about the specific purpose of the simulation or expectations concerning performance in the simulation should be deferred. These issues will be discussed after the simulation is finished.

Step Six: The simulation begins with *round one.* Each participant is asked to close his eyes. The simulation director then counts to three and asks each person to extend his arm and form either a fist or hand. The extended hand or fist should not be the one with which the participant normally writes (remind the participants of this before round one). The participants are then to open their eyes, keeping hands or first extended. They are to record their own response and (if they wish) the responses of other group members. They can then put down their hands and fists. At this point, each participant should determine the number of points he is to receive by looking at the payoff matrix.

Step Seven: The simulation staff now distributes the correct number of points to each participant. This step should be completed as rapidly as possible. Usually, one or two assistants who are familiar with the simulation can greatly accelerate the process at this step. They can also provide valuable "external" perceptions of the simulation after it is finished.

Step Eight: The simulation director now determines which four participants have the greatest number of accumulated points (not just points for this round). These people comprise the new "Alpha group". If both an Alpha and Beta, or Alpha and Gamma have the fourth highest score, the Alpha remains in the Alpha group. Similarly, preferential treatment is given to a Beta over a Gamma. If two or more Betas, or two or more Gammas, have the fourth highest scores, one of them should be arbitrarily selected to become an Alpha. Identify the six people with the next highest scores to become the new "Betas." Preference is shown for previous Alphas, then for Betas. The remaining participants become or remain Gammas. The name tags should be exchanged when participants change groups.

Step Nine: Once the new groups have been formed, the process begins again (steps six, seven, and eight) with *round two*. Each subsequent round should be completed in ten to fifteen minutes, the simulation usually lasting about ten rounds (though the participants are never informed of this). The participants should not talk to each other between rounds unless the simulation director allows them to do so. The director should announce the conditions for talking immediately after the new groups have been formed. The following schedule is usually followed.

Interval Between Rounds:	*Instructions*
One and Two	No Talking
Two and Three	Talk with other members of same group (three minutes)
Three and Four	No Talking
Four and Five	Talk with other members of same group (five minutes)
Five and Six	No Talking
Six and Seven	Talk with any other participant in the simulation (five minutes)
Seven and Eight	Talk with other members of same group (three minutes)
Eight and Nine	No Talking
Nine and Ten	Talk with any other participant (five minutes)

After having conducted the simulation several times, the director can create or foster a variety of effects by changing this sequence.

Step Ten: At some point during the simulation an important shift takes place in the power and authority invested with the participants. This shift usually occurs after the tenth round, though it may occur earlier or later at the discretion of the simulation director. The shift occurs at the end of a round. The director announces that he wishes to acknowledge the hard work and perseverance of the Alpha group—as witnessed by their high status in this society—by turning control of the simulation over to this group. These four people are to determine any rule changes, begin the rounds (if there are any rounds), distribute money, determine the end of the simulation, and so forth. At this point, the simulation staff sits back and lets the simulation progress on its own. The simulation will end either when the Alpha group decides that it should end (a rare occurrence) or when the simulation director determines that: (a) sufficient learning has taken place, (b) the simulation is beginning to get tedious, (c) a time limit for the entire simulation (minus time for debriefing) has been reached, or (d) the simulation might become too stressful for one or more participants (a rare occurrence).

Step Eleven: Upon conclusion of the simulation, the participants should sit in a large circle to discuss their reactions to the simulation. Usually it will generate many strong feelings. Some people will become somewhat embarrassed and self-conscious about their emotional state after playing "only a game." The simulation director should begin this discussion by observing that people often act and feel in a certain way because of the groups they enter and the social system or society of which they are a part. In this simulation it is important that emotions and behaviors first be discussed with reference to the structure of the simulation—as this structure promoted these behaviors and feelings—rather than with reference to the personalities of the individuals engaging in the simulation.

Initially the discussion will probably center on specific events in the simulation: "George, why did you do X?" "I was very happy to see that Susan said Y." "I wish I had done Z." The simulation director should continually turn the discussion away from specific events, except as these events illustrate more basic learnings from the simulation. Some of the following questions might be useful in bringing focus to this discussion:

1. What were the advantages of being an Alpha? A Beta? A Gamma? What were the disadvantages of each?
2. Which group really had the power? What kind of power did each group hold? Why? How could each group have acquired more power?
3. How did you feel when entering a new group? When a new person entered your group?
4. What were your reactions when the Alpha group was given control over the game? Did you want to be an Alpha at this point?
5. If you had to live in this society for six months, which group would you like to join? Why? If you were given six months to redesign this society, where would you begin?

After these issues are discussed for at least a half-hour, the focus should be redirected toward a more personal level. This does not mean focusing on interpersonal dynamics ("Why did Jim make you mad?"), but rather focusing on the dynamics that occur inside the person during the simulation ("Why did you so easily become angry when you had no power?") The following topics will lead the discussion toward a more personal level:

1. When did you have the greatest amount of power in this simulation? Why? How did you feel at this point? What did you do at this point?
2. When did you have the least amount of power? How did you feel at this point? What did you do at this point?
3. Are there any important feelings that you experienced during this simulation that relate to some important feelings at other times in your life? Are there any connections that you can make between these feelings and the way you feel about, and use, power or powerlessness in your life?
4. What have you learned from this simulation about your emotions or actions that can be translated into your personal or professional life?

After another half-hour of discussion, the simulation is concluded.

In order to make the discussion more meaningful to the participants, one or more additional strategies might be employed. First, the total group might be broken down into subgroups of three to five members periodically during the discussion. These subgroups are asked to discuss one or more of the questions listed above, then reconvene with the total group after ten to fifteen minutes to share their reactions. This procedure is particularly appropriate if the group is highly verbal or composed of strangers.

The simulation director and/or his assistants can also make comments from an "external" perspective. This detached discussion can help defuse strong feelings and can provide new and valuable insights (especially if the observers can compare this "society" to others that they have observed in previous Dilemma of Power simulations). If the emotions are particularly strong, the participants might be given a ten-minute "cooling off" period. They should have a chance to be alone and reflect on the simulations. A brief period of exercise or relaxation is often advised.

Step Twelve: At least five minutes should be allocated at the end of the simulation for an evaluation of its impact. This evaluation not only helps the director to improve the simulation, but also encourages the participants to probe more deeply into its structure and dynamics.

Additional Suggestions:

Dilemma of Power will look quite different each time it is run—especially during the period when the Alpha group is given control. Several issues commonly arise, however, and need to be properly addressed:

1. *Distribution of Points:* Soon after the simulation begins, some participants will begin to give points to other participants. This process should not be discouraged (nor should it ever be formally approved), for it adds an interesting economic dimension to the simulation. This exchange of points, however, should *not* occur during the interval between steps seven (distribution of points by the staff) and eight (reassignment of groups), for the exchange can slow down and confuse the process. Exchange of points can only occur after group memberships have been reassigned. This rule ensures that a participant can rarely be certain that he will be assigned to a specific group after receiving or giving away points.
2. *Ambiguity of Rules:* Many of the rules in this simulation have been left purposefully ambiguous. The simulation director will acquire considerable power as an interpreter of the rules and as a legal arbiter. This makes the transfer of control to the Alpha group an even more interesting experience.
3. *Role of Simulation Staff After Alphas Are Given Control:* Many participants will request clarity, support, or even direct intervention from the simulation staff after the Alpha group has been given control of the simulation. The staff should refrain from giving any assistance at this point. If the intervention by a staff member is needed to stop or prevent a potentially destructive situation, then the simulation should be terminated and the discussion session started.

Concluding Comments:

This simulation enables college administrators, as well as faculty and students, to examine their own emotions and behaviors related to the acquisition, possession, use, loss, and absence of power. As a significant and highly personal aspect of all our lives, power is rarely understood or discussed. Dilemma of Power can facilitate this important process of understanding and communication and thereby help each of us to use power in a more constructive and creative manner.

Dilemma of Power

Instructions

You have just entered a new society that is composed of three groups: the Alphas, Betas, and Gammas. As a member of this society, you are to focus on a single goal: the accumulation of points. The criterion of success in this simulation is the accumulation of as many points as possible before the end of the game. Points are accumulated in this simulation through a series of decisions that you must make as a member of one of the three groups. The number of points you will receive for each decision is based in part on your own decision and in part on the decisions made by other members of your group. Depending on the number of points you receive, you will move between groups. The payoff for decisions that are made varies between the three groups.

The economic unit in this society is the "point," as represented by paper bills of varying denominations (1p, 5p, 10p, 50p, 100p). Points are assigned on the basis of your decision to extend an open hand or a closed fist. Depending on the comparable decisions of other members of your group, you will receive between zero and fourteen points.

The simulation is divided into rounds. An indeterminant number of rounds will be completed. At the start of each round, you will be asked to sit with your group and close your eyes. When the director of the simulation has counted to three, you are to extend the arm with which you *do not* write and form either an open hand or a fist. When the director tells you to open your eyes, keep your hand or fist extended and record your response and the responses of the other group members on the "Score Sheet." An "H" should be recorded for each hand and an "F" for each fist. Once the responses have been recorded in your group, your hand or fist can be lowered and the points for your response determined.

The points are assigned on the basis of payoff matrices that have been formulated for each group. On the sheet entitled "Payoff Matrices," the first matrix applies to the Alpha group. If all members of the Alpha group extend hand (H), then each member will receive 10 points. If one member extends a fist (F) and all other members extend hands, then the member with the fist will receive 14 points and the hands receive 6 points apiece. Similarly, in the case of two hands and two fists, each hand will receive 4 points and each fist 7 points. One hand will receive 2 points and three fists will receive 4 points. If all members of the Alpha group extend fists then none of them receive any points.

Members of the Beta group should examine the second matrix. If all members extend a hand, then each will receive 7 points. If one member extends a fist and the others extend hands, then the fist will receive 11 points and the hands 5 points apiece. One can similarly determine the point totals for the five other possible combinations of hands and fists.

In the case of the Gamma group, each member who extends a hand will receive no points. Those members who extend fists will divide up a total of 12 points. Thus, if two fists are extended, each of these people will receive 6 points, whereas if three fists are extended each would receive 4 points.

Once these points have been determined, the director will distribute the appropriate number of paper bills to each participant. The three groups are then reconstituted. The four participants with the highest scores become (or remain) Alphas. The six participants with the next highest scores become (remain) Betas. The remaining participants are Gammas. If you change groups, be sure to obtain the appropriate badge and leave the badge of your former group.

After the groups have been reconstituted, you are ready to begin the next round.

You will once again be asked to close your eyes and extend either a hand or fist. Between rounds you are not to talk with other participants, unless allowed to do so by the simulation director.

Your formal goal, once again, is to accumulate points. Any other goals that you wish to assign to this simulation are of your own choosing. Do you have any questions?

Dilemma of Power

Payoff Matrices

ALPHA GROUP
(4 Members)

4H		3H/1F		2H/2F		1H/3F		4F	
H	F	H	F	H	F	H	F	H	F
10	—	6	14	4	7	2	4	—	0

BETA GROUP
(6 Members)

6H		5H/1F		4H/2F		3H/3F		2H/4F		1H/5F		6F	
H	F	H	F	H	F	H	F	H	F	H	F	H	F
7	—	5	11	4	7	3	5	2	3	1	2	—	1

GAMMA GROUP

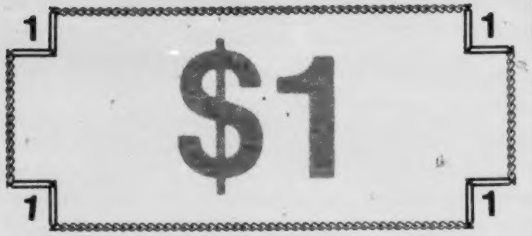
Twelve points are divided evenly among those participants who extend fists.

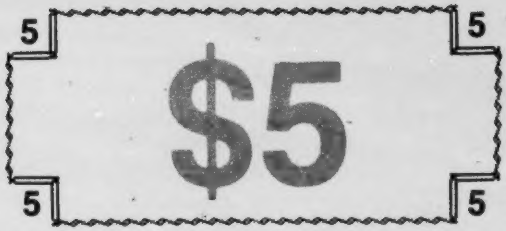
Dilemma of Power

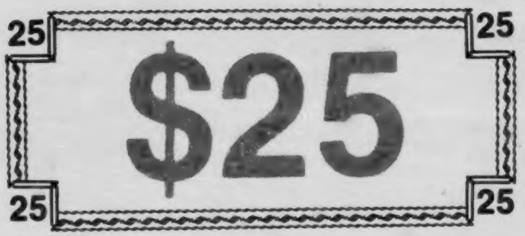
Score Sheet

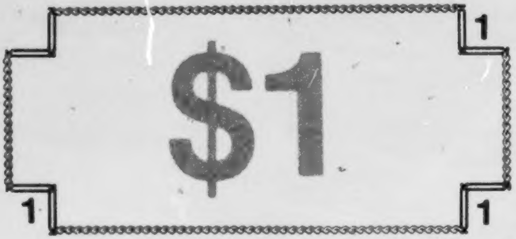
H = HAND F = FIST

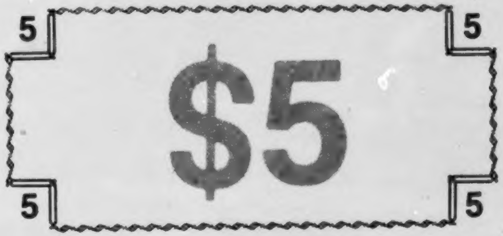
ROUND NUMBER	YOUR RESPONSE	Response of Other Members						YOUR POINTS
		1	2	3	4	5	G	

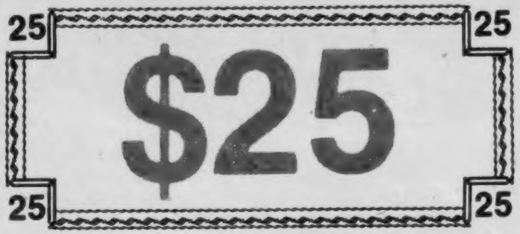

1
1
$1
1
1

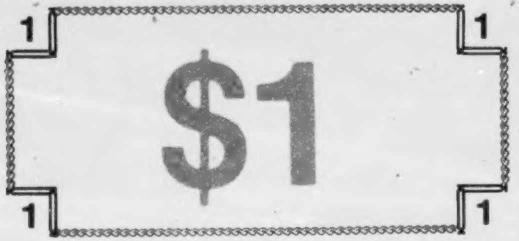

5
5
$5
5
5

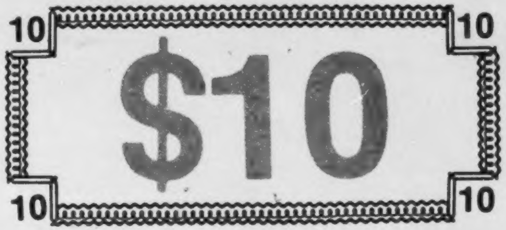

25
25
$25
25
25

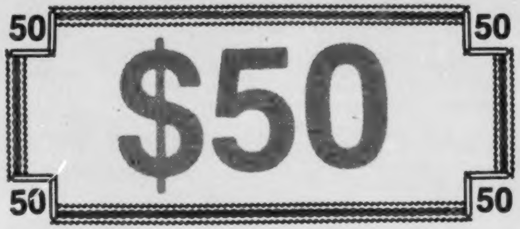

1
1
$1
1
1

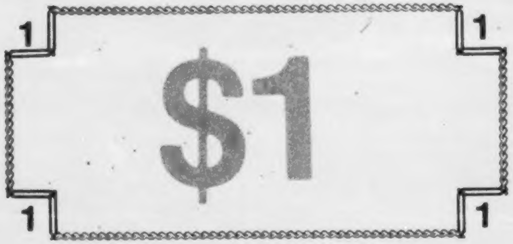

5
5
$5
5
5

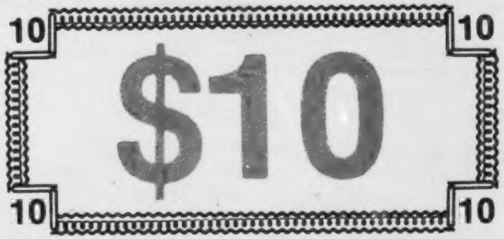

25
25
$25
25
25

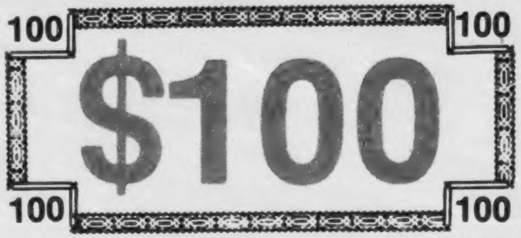

1
1
$1
1
1


10
10
$10
10
10


50
50
$50
50
50


1
1
$1
1
1


10
10
$10
10
10


100
100
$100
100
100

Document 5-2

Title: Team Building: FIRO Model

Source: William H. Bergquist, based on theory and instruments that were first developed by William Schutz, *The Interpersonal Underworld* (Palo Alto, Calif.: Science and Behavior Books, 1966)

General Description:

Team building can have either a task or interpersonal orientation. The FIRO Model of team building provides an existing team with the opportunity and resources to explore their interpersonal relationships, or a workshop group with the opportunity and resources to explore common patterns in their relationships with other people. The FIRO team-building model is based on William Schutz' theory of interpersonal relationships. At some point in all relationships three basic issues must be confronted: (a) inclusion (How do I become part of this relationship or group? How do I help another person become part of this relationship or group?); (b) control (Who is in charge of this relationship? Under what conditions do I exert control in this relationship?); and (c) affection (How open can I be in this relationship? What emotional needs will be met in this relationship?). FIRO (Fundamental Interpersonal Relationship Orientation) theory indicates that inclusion needs must be satisfactorily addressed before control issues can be considered, and that control issues must be addressed before affection is possible.

Given the significance of these three dimensions in interpersonal relationships, a team-building activity that is built around a discussion of inclusion, control, and affection would seem to be appropriate—particularly if the team has been newly formed or is experiencing some interpersonal difficulties (though not major problems).

Instructions for Use:

A list of questions accompanies this exercise. Most of these questions relate to one of the three FIRO dimensions (inclusion, control, and affection). The group is given each of these questions, one at a time. Each question can be asked in one of two ways: in terms of the general behavior of an individual in an interpersonal setting or the specific behavior this individual exhibits in this particular group. An intact group should use the latter approach; a workshop group should use the former, unless the discussion is held after the group has had six or eight hours of intensive work.

The discussion session should be preceded by a brief presentation on FIRO theory (see the interpretive manual of the FIRO-B Test of Psychologists Press, Inc., 577 College Avenue, Palo Alto, Calif. 94306). The discussion session can be further enriched by the use of the FIRO-B scale (*B* stands for behavior). This instrument is used extensively in interpersonal skills and team-building workshops. The FIRO-B instrument yields six scores: expressed inclusion (wanting to include others), wanted inclusion (wanting others to include you), expressed control (wanting to control a relationship with others), wanted control (wanting others to control a relationship with you), expressed affection (wanting to be close to others), and wanted affection (wanting others to be close to you). This scale is particularly appropriate when used with an intact group. The group members can fill out the FIRO-B scale with specific reference to the group and can then compare and talk about their scores. The FIRO questions can subsequently be introduced and discussed in light of the FIRO-B scores.

The FIRO questions have at times been supplemented by exercises that relate directly to issues of inclusion, control, and affection. As a nonverbal inclusion exercise, the group (usually composed of four or five members) is given the assignment of identifying and acting out an inclusion experience for each of its members. One member leaves the group for several minutes. The other members reflect on how this person usually enters a group or how this person would like to enter a group. The individual is then invited back to the group and the inclusion process begins. Sometimes this process involves physical force or subtle psychological coercion. At other times, the inclusion process will require one to discover something about the group, and hence will take on a gaming quality. The group discusses the inclusion process after each individual has entered the group.

The control dimension is experienced nonverbally in one of several ways: (a) members of the group can Indian wrestle or perform some other contest involving physical strength and agility, (b) two members of the group can place their hands on each other's shoulders and attempt to push each other to the ground, and (c) two members of the group can face each other, imagine that they are each a mirror of the other and begin to move silently in unison. (Usually at first with hands, then with other parts of the body.) The first of these exercises encourages participants to explore their own physical strength or lack of strength, and how they deal with this strength in fact and metaphorically. The second exercise yields more subtle insights, for one cannot push another person to the ground by pressing on his shoulders, unless he wishes to be pushed to the ground. Through the third exercise two people can experience many dimensions of control. The third exercise will also lead two people toward affection if they can successfully negotiate the issue of control.

Affection of course can be experienced nonverbally in many ways, though strong physical displays of affection should be avoided unless the participants have established a norm for this type of expression. In an effective, low-key exercise, one person lies on his back while a second person sits at his head. With his hands the second person gradually lifts the other's head. Since a head is quite heavy (more than twenty pounds) the act of lifting someone's head requires planning and strength. The head is slowly lifted and gently turned from side to side. Tensions in the neck and back can be readily detected, thereby serving as a valuable measure of the extent to which this person can relax while vulnerable. After several minutes, the head is gradually lowered to the ground, and the two participants discuss the experience. Then they reverse positions and repeat the exercise.

Affection is also often experienced in an insightful manner through the use of the mirroring exercise described above and through the use of an exercise known as "body sculpturing." One person remains totally immobile, while one or more other people mold him into an exaggerated physical representation of what they think he is (hero, saint, recluse, fighter, and so forth) or what they think he will become in the future. The people who are doing the molding discuss their perceptions with the focus person after the exercise is completed.

Many groups will not be amenable to these nonverbal exercises. They usually are willing, however, to talk about their interpersonal relationships, especially as these relationships relate to their work. The accompanying list of questions can provide a valuable structure for this discussion.

FIRO Questions

Inclusion:

How do you feel when entering a new group (when you first entered this group)?
What do you do when a group (this group) starts?
What do people tend to think, feel, and do when they first meet you?
Under what conditions do you feel most comfortable as a member of a new group? As a new member of an old group?

Control:

What do you do when someone remains silent in a group (this group)? What are your feelings about this person?
What do you do when someone does all of the talking in a group (this group)? What are your feelings about this person?
What does the leader of a group (this group) do that makes you feel most productive?
What does the leader of a group (this group) do that makes you feel most annoyed?

Affection:

When do you feel most withdrawn in a group (this group)?
What are you most afraid of in a group (this group)?
What do you do when someone feels hurt in a group (this group)?
Under what conditions are you most easily hurt in a group (this group)?
Under what conditions do you feel most lonely in a group (this group)?

General:

What are the general impressions that people have of you who know you best?
What do people have to do in order for you to trust them?
What type of interpersonal experiences saddens you the most?
Under what conditions do you feel closest to other people?
What do you have to do in order for most people to like you?
Under what conditions do you feel most loved by other people?

Document 5-3

Title: Parking Lot

Source: William H. Bergquist, based on a similar exercise developed by Fred Fosmire at the University of Oregon, Eugene, Oregon

General Description:

Parking Lot is one of a series of decision-making (DEMAK) exercises that have been developed for use in skills-training programs for college administrators and faculty. Other DEMAK exercises have been described and documented in the two volumes of *A Handbook for Faculty Development.** Parking Lot is designed for use with a five-person group that wishes to investigate its own interpersonal processes. The exercise requires a group to make a number of decisions based on information that must be integrated by the group members. Parking Lot can be used to study decision making, conflict management, or communication.

Like the Astronaut (Volume 1) and Treasure of the Sierra Madre (Volume 2) exercises in the faculty development handbook, Parking Lot requires each participant to memorize a map that is given to him for a brief period. The map contains partial information about open and closed cells on an 18 x 18 matrix. The group then convenes, verbally assembles the information that has been acquired from the maps, and begins to make decisions about the open and closed cells.

Parking Lot differs from Astronaut in that participants are provided with information about areas of the map rather than specific cells and must make decisions based on relative rather than absolute knowledge of open and closed cells. Unlike Treasure of the Sierra Madre, Parking Lot contains no invalid information. In general, Parking Lot should be used when one wishes to simulate a relatively dispassionate planning and decision-making process. Astronaut and Treasure of the Sierra Madre contain elements that are more likely to produce irrational and conflictual situations.

Instructions for Use:

In beginning the Parking Lot exercise, one may wish to introduce a conceptual framework about decision making, conflict management, or communication (see Chapters 8, 9, 10, and 13 of the first volume and Chapters 8 and 9 of the second volume of the faculty development handbook for possible models). If more than ten people are present, two or more groups can be formed. Some of the participants can be asked to serve as observers. In Parking Lot, as in the other DEMAK exercises, a great deal can be learned from observing the task group in operation. One of the observers (or the exercise leader) should also be designated as a judge for each task group.

Those who will be participating in the exercise are now given a copy of the Parking Lot instructions. A copy of the blank matrix should also be given to the group (notice who takes the matrix—an important piece of data to consider in the group's discussion of the task). The observers either are given a specific observation form or rating scale to fill out (see Exercise Number 5 of the first volume and Instrument Number 13 of the second volume of the faculty development handbook) or meet with the exercise leader to discuss how the group should be observed and how feedback to the group members should be timed and structured.

After answering any questions that the group members might pose, the exercise leader gives each member one of the maps, and allows three minutes for review and memorization. The group members should be encouraged to find a place where they can be alone and where other members cannot see their maps. At the end of the three-minute period, the maps are collected and the group is instructed to begin. No marks can be made on the matrix, other than those used to record the success or failure of a decision. The group members are not allowed to write down anything about the task during the exercise. The judge is to keep the key well-hidden from the group members and to indicate when a decision made by the group is "correct" or "incorrect."

---

*William H. Bergquist and Steven R. Phillips, ed. Gary H. Quehl (Washington, D.C.: CASC, 1975-77).

In most instances, the group should be stopped after the first three to five minutes in order for their processes during this critical period to be discussed by the members and observers. If television equipment is available, videotaping can also be quite informative. The group usually returns to the task after five to ten minutes, and is periodically interrupted throughout the exercise. If the observations and discussion are left to the end of the exercise, many of the early observations are lost; furthermore, the group members do not have an opportunity to use early feedback to modify their behavior in the group. Several important suggestions for conducting these discussion sessions have been offered in conjunction with the description of other DEMAK exercises in the two faculty development volumes (Exercise Number 6 in the first volume and Exercises Number 5 and 6 in the second volume).

Parking Lot

Imagine your team to be an engineering design and development firm commissioned by a community development council to study long-range traffic patterns for a new local college. In planning for the future of the area, the council projects frequent and large crowds attending such events as educational lectures, concerts, conventions, and athletic contests—to mention only a few examples.

The immediate problem for your firm is to find and purchase land suitable for parking areas. Ideally such land should have a low priority as a building site, have good access to traffic patterns, have flat to gentle slopes and adequate subsoil drainage. It is reasonable to expect that building priorities *could be* changed, access *could be* provided, hilly land *could be* terraced, and subsoil drain tiles *could be* installed. However, these modifications are costly and the contract will allow only *one* such modification for a parking area.

For each parking area your group finds that meets the above specifications of the council, you will receive $2,000 in commissions. This event is represented by the successful placement of a mark on one of the squares on the 18 x 18 grid that has been placed before you; each square on the grid represents one potential parking lot. Squares that require more than one modification represent unsuccessful placement of marks. The cost to your company for investigating the characteristics of each square is $1,000.

Each member of your group will study and memorize a map that gives information about priority of land for building sites, drainage characteristics, access to traffic patterns, and lay of the land. After studying the maps, you will turn them in and work from memory.

You must decide, as a team, which sections you wish to investigate. Remember, each investigation costs you $1,000. Each suitable section of land you find will pay you $2,000 in commissions from the council.

Are there any questions?

You now have several minutes to study and memorize your maps. Then you will turn them in and work from memory.

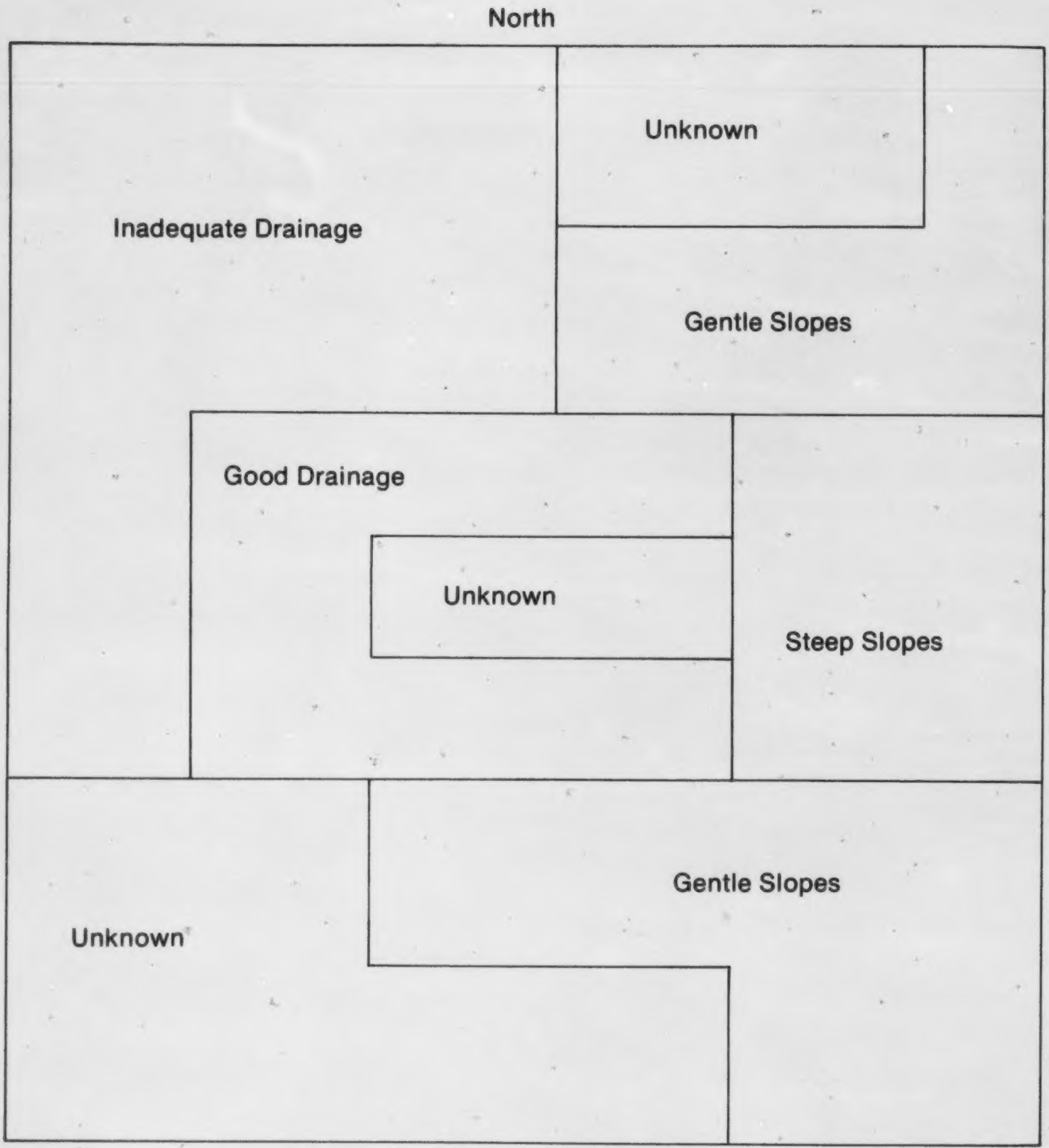
Key

	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	
A																●	●	●	A
B																●	●	●	B
C																●	●	●	C
D										●	●	●	●	●	●	●	●	●	D
E										●	●	●	●	●	●	●	●	●	E
F										●	●	●	●	●	●	●	●	●	F
G				●	●	●	●	●	●	●	●	●							G
H				●	●	●	●	●	●	●	●	●							H
I				●	●	●													I
J				●	●	●													J
K				●	●	●	●	●	●	●	●	●							K
L				●	●	●	●	●	●	●	●	●							L
M							●	●	●	●	●	●	●	●	●	●	●	●	M
N							●	●	●	●	●	●	●	●	●	●	●	●	N
O							●	●	●	●	●	●	●	●	●	●	●	●	O
P													●	●	●	●	●	●	P
Q													●	●	●	●	●	●	Q
R													●	●	●	●	●	●	R
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	

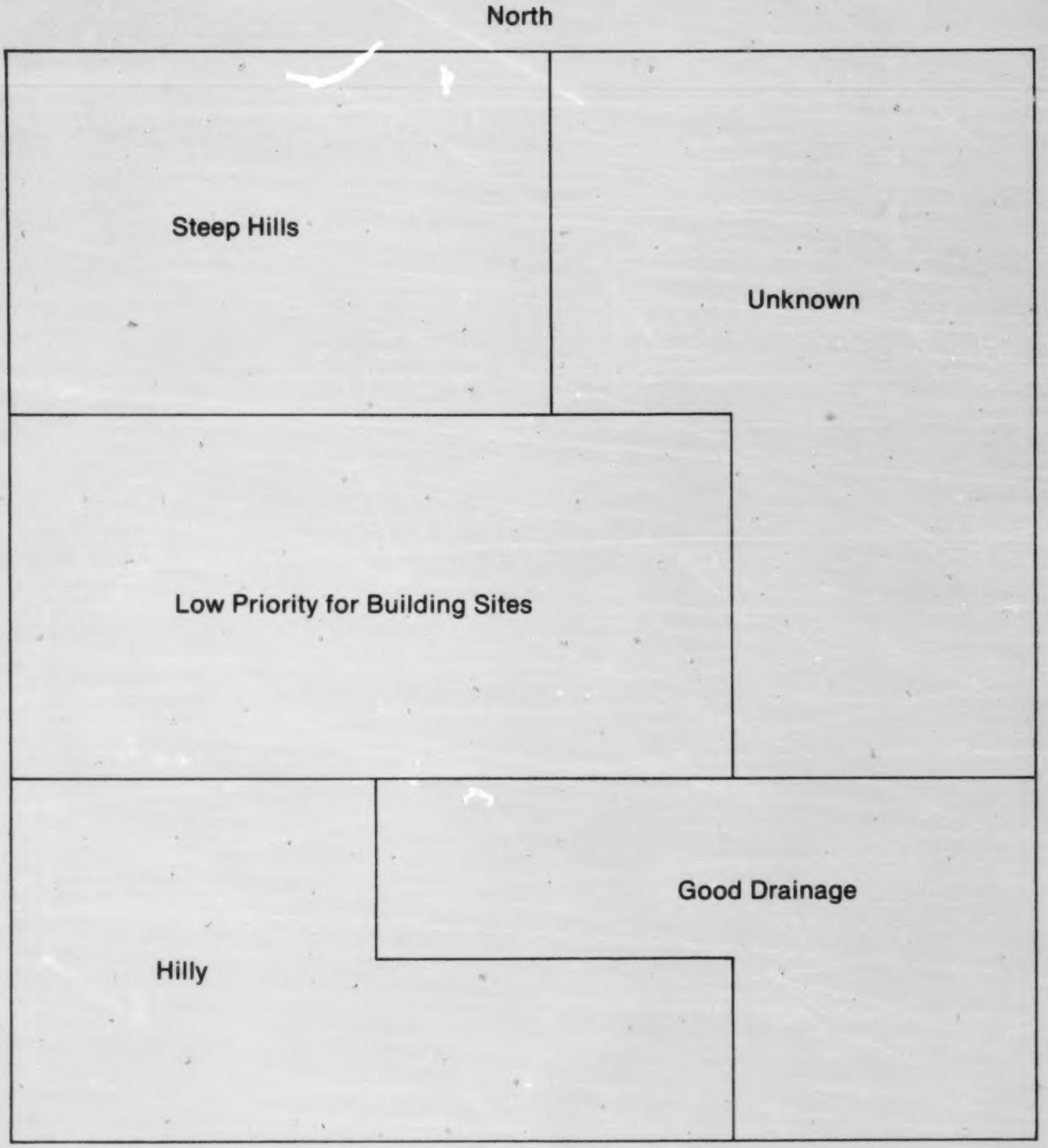
☐ **Not Acceptable**
● **Acceptable Lots**

	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	
A																			A
B																			B
C																			C
D																			D
E																			E
F																			F
G																			G
H																			H
I																			I
J																			J
K																			K
L																			L
M																			M
N																			N
O																			O
P																			P
Q																			Q
R																			R
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	

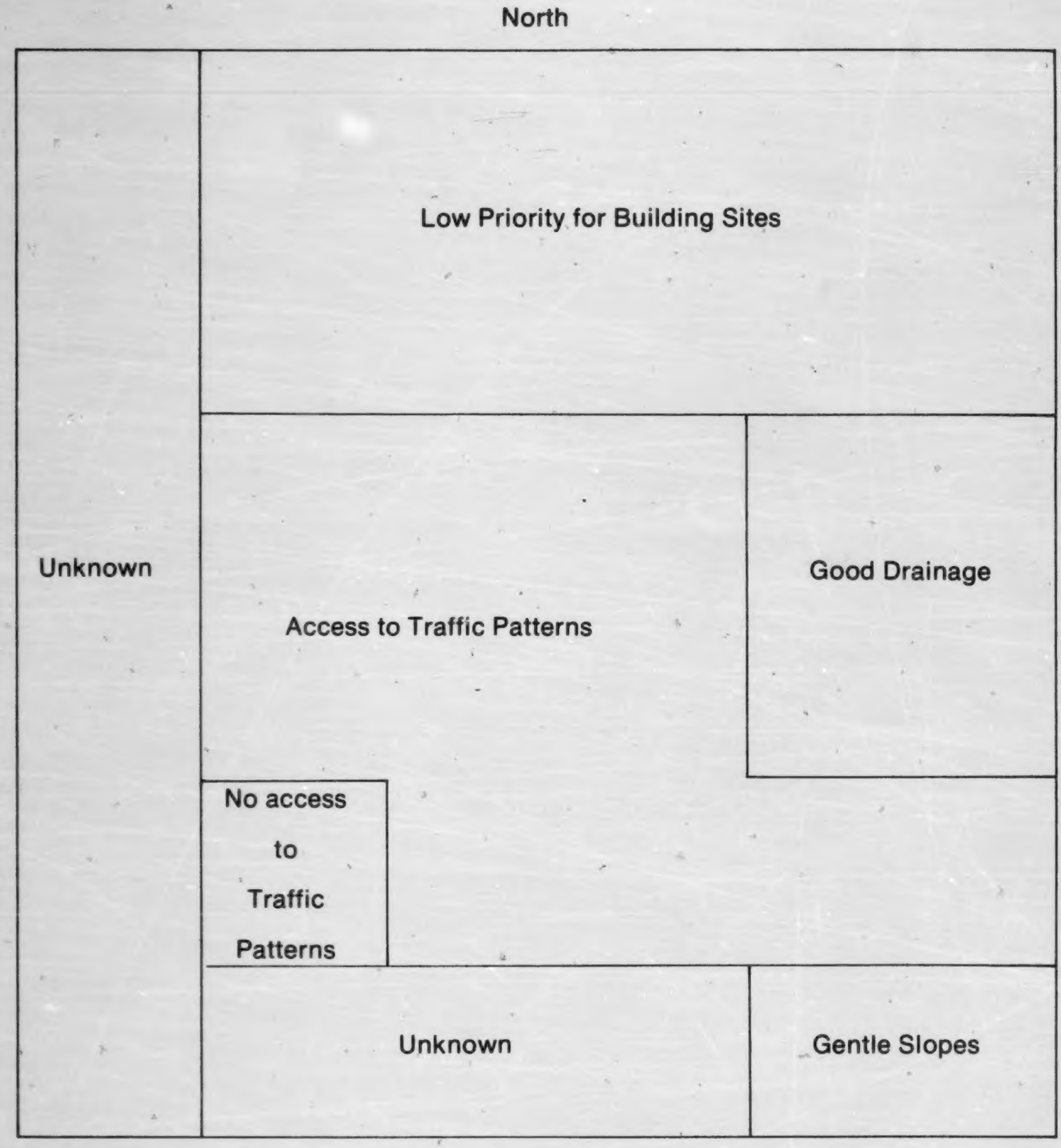
Map #1


North
Unknown
Inadequate Drainage
Gentle Slopes
Good Drainage
Unknown
Steep Slopes
Gentle Slopes
Unknown

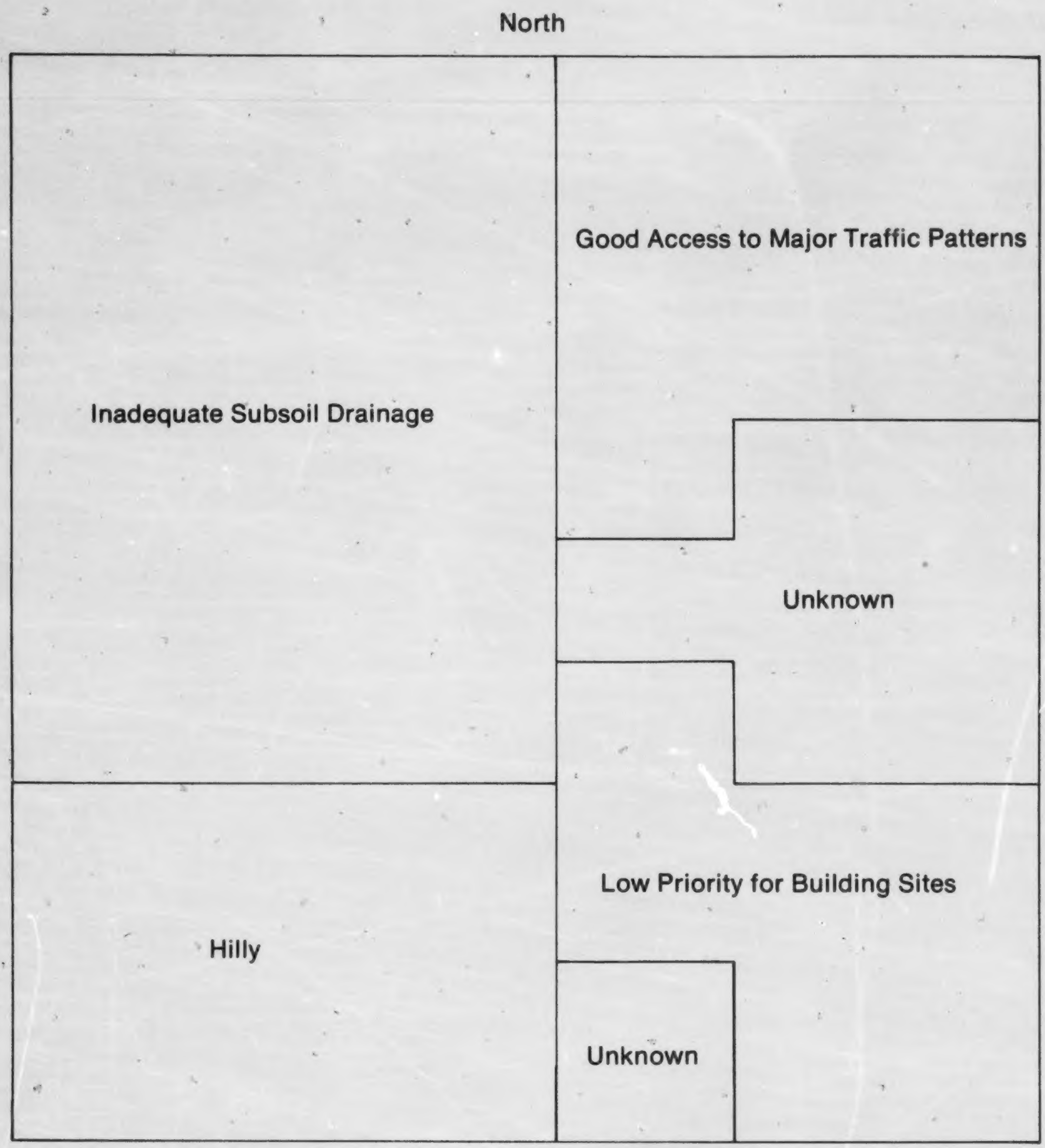
Map #2


North
Steep Hills
Unknown
Low Priority for Building Sites
Good Drainage
Hilly

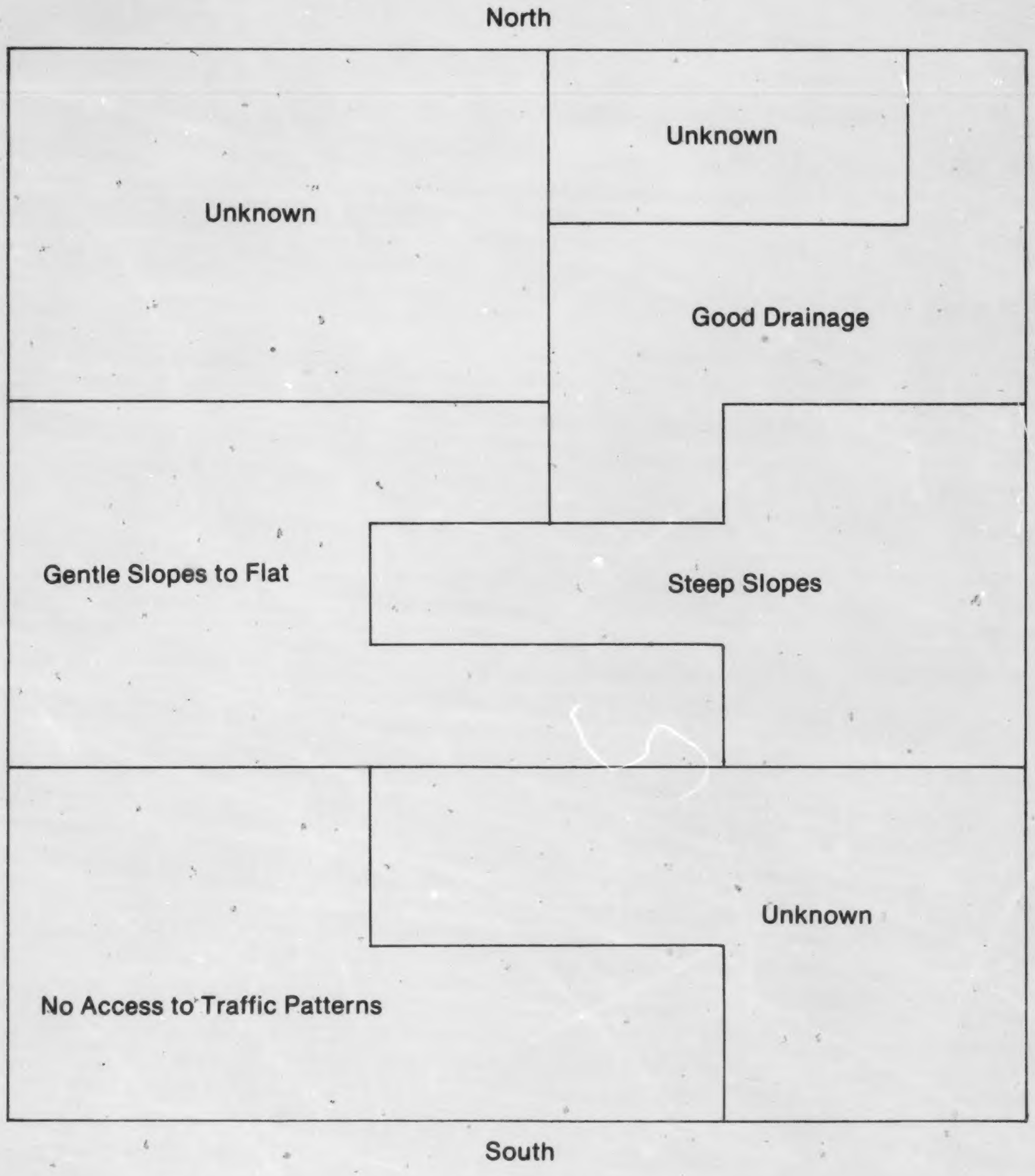
Map #3


North
Unknown
Low Priority for Building Sites
Access to Traffic Patterns
Good Drainage
No access to Traffic Patterns
Unknown
Gentle Slopes

Map #4


North
Good Access to Major Traffic Patterns
Inadequate Subsoil Drainage
Unknown
Low Priority for Building Sites
Hilly
Unknown

Map #5


North
Unknown
Unknown
Good Drainage
Gentle Slopes to Flat
Steep Slopes
Unknown
No Access to Traffic Patterns
South

Document 5-4

Title: Creating an Environment for Change

Source: Benjamin E. Sprunger, adapted from Everett M. Rogers and F. Floyd Shoemaker, *Communication of Innovations* (New York: The Free Press, 1971)

General Description:

Among the administrator's tasks is to bring about orderly improvements and efficiencies (change). It has been suggested that the church and higher education resist change more than any other institutions. If this is true, the higher education administrator as a change agent has a most difficult role.

In higher education externally imposed change is rarely effective. Thus the administrator must work for change that comes from within. If a proposed change is deemed appropriate and necessary to accomplish agreed-upon objectives, there are some environmental indicators that can be assessed and some strategies that can be employed.

The checklist for Creating an Environment for Change is an abbreviated summary of some of the relevant diffusion of innovation research.

Instructions for Use:

Keeping in mind the innovation (idea, program, policy, procedure, etc.) and the adopting group, the user checks those items on the list that may be applicable. After checking the pertinent items, the user uses these items along with other relevant information to develop a strategy for introducing, communicating, and obtaining concurrence in implementing the proposed change.

Creating an Environment for Change

A Checklist

Instructions: The following items have been found to be factors that may affect an individual's or a group's willingness to accept change. When a change is being proposed, this checklist may aid in assessing how to present the proposed change, determining the individual's or group's receptivity, and developing a strategy.

CREATING AN AWARENESS FOR NEEDED INNOVATION:

______ 1. A crisis emphasizes the relative advantage of an innovation and affects its rate of adoption.

______ 2. The more advantageous a new idea appears, the greater the probability of its adoption.

______ 3. The more easily a new idea can be communicated, the greater is its probability of being adopted.

CREATING CREDIBILITY CONCERNING AN INNOVATION:

______ 1. Innovators are perceived as deviants by other members of their social system.

______ 2. Source credibility is more important in presenting new ideas than how logically the ideas are presented.

______ 3. Source credibility is conferred upon the source by the receiver, not by the source.

______ 4. For low source credibility, low-fear messages are most effective.

______ 5. For high source credibility, high-fear messages may be effective.

______ 6. For a receiver who is originally opposed to the message, present both sides of the argument (just positively reinforce).

______ 7. If the receiver has the same opinion as the source, present only one side of the argument.

______ 8. Two-sided messages are most effective for highly educated individuals, one-sided messages for poorly educated individuals.

______ 9. Two-sided messages are best if a counter-argument is to be presented at a later date.

PERSUASION TECHNIQUES WHILE AN INNOVATION IS BEING EVALUATED:

______ 1. The more compatible a new idea is to the present procedures, the greater the probability of its adoption.

______ 2. The less complex an innovation is as perceived by those who must adopt it, the greater its probability of adoption.

______ 3. The greater the visibility of an innovation as perceived by members of a social system, the greater is its probability for adoption.

______ 4. Personal influence from peers has a greater influence for change than formal or one-way communication. In other words, get the opinion leaders and those closest to those you are trying to influence on your side.

______ 5. High-fear messages are least effective for insecure and anxious people.

______ 6. High-fear messages are more effective with secure people.

______ 7. People who are dogmatic, closed-minded, and have authoritarian personalities have great difficulty separating the message (proposed innovation) from the source (person proposing the innovation). These individuals will do whatever the authority says, the group does, and/or will block, distort, or reject emotional messages. If a high-fear message must be presented to these individuals, use an individual who is perceived by them as being highly credible.

______ 8. People who are nondogmatic, open-minded, and nonauthoritarian can usually and definitively separate the message (proposed innovation) and the source (person proposing the innovation). These individuals will reject the authoritarian positions if they are seen as inadequate or manipulative, will not follow the group if indivisible, and will handle with ease the high-fear or emotional messages. For individuals who are open-minded and nondogmatic, low-fear messages from credible sources are most effective.

Chapter 6

Evaluating

A wise man recognizes the convenience of a general statement, but he bows to the authority of fact.

Oliver Wendell Holmes, Jr.

Most administrative activities are directly or indirectly related to achieving goals and meeting human needs. Planning, organizing, staffing, and leading give substance to the movement toward the mission of the college or university. Evaluation provides evidence that these actions fit plans.

Evaluation is integral to administration, and every administrator is responsible for the evaluation and development of his subordinates. In many ways this responsibility is similar to that of the faculty member who must evaluate and develop his students. Classroom evaluation aids in monitoring past performance, assessing deviation from expected performance, and determining future activities; so, too, does administrative evaluation aid in monitoring and controlling and identifying needed actions.

Whenever there are plans, goals, and objectives to be achieved and whenever there are assignments of duties and delegation of authority and accountability, it is necessary to have controls, feedback, and evaluation. Evaluation is an essential check on the other management functions, for management is not a single activity—it is a system. Failure in one part of the system affects all the other areas because they are inextricably linked and interdependent.

Controlling, inspecting, analyzing, developing, auditing, evaluating, and monitoring are overlapping processes and categories involved in the function described in this chapter. We have chosen to discuss the function in terms of two categories: monitoring and evaluation.

MONITORING

Key Elements

The three elements of monitoring are developing standards, comparing performance with standards, and adjusting for deviations. These three elements form the foundation for monitoring and evaluation, and the mortar that holds them together is feedback.

The day-to-day activity of a college consumes vital and scarce resources at a voracious rate. Thus it is one of the administrator's functions to see that the institution makes the best use of limited human, physical, and financial resources in the accomplishment of its programs and activities. But efficient use of resources in activity is not enough—the activity must be purposeful. It must be planned as a means to reach the college's goals.

Unfortunately, colleges and universities all too frequently fail to design standards by which activity can be monitored. Standards can be quantitative (time, cost, results, man-hours worked, student credit hours, and number of matriculants or graduates), and they can also be qualitative (aesthetics, attitudes, moral behavior, and good will). But whatever standards are used, they should be carefully worked out to ensure the best use of scarce resources toward institutional objectives and goals.

Monitoring provides a means of identifying problems and correcting difficulties as quickly as possible. While planning should involve predictions based on the best data available, the only sure thing that can be said about the future is that it will be full of surprises. For this reason, monitoring is necessary to pinpoint areas where predictions were wrong.

"Evaluation is integral to administration, and every administrator is responsible for the evaluation and development of his subordinates."

The development of adequate standards against which performance can be measured is easier in some areas than in others. For nontechnical kinds of work or for any simple repetitive activity, such as production tasks, standards are easier to develop and performance easier to monitor than in complex or technical jobs. In such instances, it is not uncommon for administrators to use a check-do-report system as a means of control. Under this system the administrator checks before and after the work (program or task) is completed. While this system may be appropriate for some tasks and individuals, it is hardly fitting for faculty carrying out complex teaching, research, or writing responsibilities. The more professional the work, then, the more difficult the task of measuring it. However, this does not mean that faculty performance cannot be measured. Although measurement may seem dubious to some in academia, certain standards are continually being applied ("publish or perish," the rites of standing for tenure, student classroom evaluations).

Unfortunately, monitoring is all too often viewed as an unpleasant process with a punitive purpose. Instead, monitoring should be forward looking, making possible corrective action, which can include any of the following: changing plans, adjusting program activity, increasing support, reducing the scale of activity, reorganizing, improving leadership, altering standards, and changing personnel assignments.

Monitoring without accurate feedback is an exercise in frustration, for feedback is the element that ties the monitoring system together. Just as the signals a thermostat sends to the heating equipment indicate whether the amount of heat is satisfactory, so feedback tells the administrator whether performance is satisfactory. The feedback loop as illustrated by Koontz and O'Donnell (Figure 6-1) shows the importance of the monitoring and feedback system.

Some administrators find monitoring the most difficult of all management functions. Their distaste for it is overcome only when the need for corrective action becomes overwhelming. But not to take corrective action when it is needed is an abdication of the administrator's responsibility.

Monitoring Through Budget

For educational and service organizations, control through budgeting is the most common and perhaps the least difficult monitoring method. However, the budget is not necessarily limited to financial functions; it can be conceptually expanded to monitor most administrative functions. For example, General Electric Corporation uses an expanded budget system called "Key Area Control" that includes eight key areas: profitability, market position, productivity, product leadership, personnel development, employee attitudes, public responsibility, and interrelation of short- and long-range goals.[1] And Haimann and Scott suggest ten budget areas which, at first glance, may seem to have only marginal application to higher education. However, a slight rewording reveals how closely key budget areas can coincide with major administrative planning activity and control points in higher education (see Figure 6-2).

Nonbudget Monitoring Techniques

Of the many nonbudget monitoring devices available to the administrator, some were used in antiquity while others are as modern as the space age.

Personal Observation

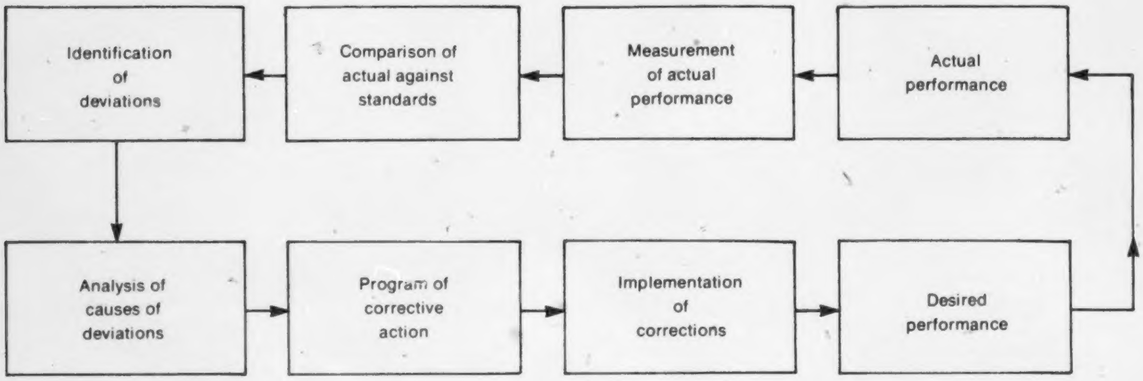
Personal observation must be the oldest monitoring method known to man. While it isn't sufficient by itself, personal inspection can provide information that is not available in written reports or budgets. Certainly nothing can substitute for firsthand observation. Some administrators make it a practice to schedule tours of all areas assigned to them from time to time, and more than one college president makes an annual inspection, accompanied by the responsible administrator, of every building and program.

Special Reports

Institutional research offices can be helpful in providing third-party analysis of various programs. In addition to being planners, statisticians, and data analysts, these personnel can also monitor the progress of various programs and occasionally be a burr under the saddle if programs or people are not measuring up to standards.

FIGURE 6-1

Feedback Loop of Management Control*


Identification of deviations
Comparison of actual against standards
Measurement of actual performance
Actual performance
Analysis of causes of deviations
Program of corrective action
Implementation of corrections
Desired performance

---

*From *Essentials of Management* (2d. ed.) by Harold Koontz and Cyril O'Donnell, page 470. Copyright © 1978 by McGraw-Hill, Inc. Used with permission of McGraw-Hill Book Company.

FIGURE 6-2

Similarities Between Key Budget Areas of Business and Higher Education*

Haimann and Scott's Key Budget Areas for Business	Comparable Key Budget Areas for Higher Education
Sales Budget	New Student Recruitment
Finished Goods (Services) Budget	Attrition and Graduation
Production Budget	Number of Courses, Sections, Teaching Loads
Materials and Materials Purchases Budget	Expendable Supplies
Personnel Budget	Personnel Forecast and Needs
Additional Expense Budget	Pilot and Seed Monies for New Programs
Capital Expenditure	Capital Expenditures for New Programs and Replacement for Existing Programs
Cash Budget	Cash Flow Budget
Budget Income Statements	Gift Income Budget
The Budget Balance Sheet	Current Fund and Other Fund Budgets

Consultant Audits

There are many forms of audits, such as visits by accrediting teams, financial audits, and those of individual consultants. Many programs can be monitored and evaluated effectively by outside sources. A particularly effective outside audit team might include a knowledgeable trustee, an alumnus who has achieved some distinction in the area being audited, and a nonalumnus expert. In addition to the benefits of the audit itself, the involvement of trustees and alumni in the affairs of the institution is almost always advantageous. (See *Document 6-1*.)

Time-Event Charts

Bar charts have probably been in existence for hundreds of years. In the early twentieth century, Henry L. Gantt developed an easily understood bar chart to show relationships between time and events. Gantt's chart illustrates the sequence of the interrelated parts of a larger program or goal and highlights critical areas that need careful monitoring.

The Gantt charts were later refined by breaking down each subunit of a program into its own definable activities and charting them. These charts are known as *milestone charts*. A milestone is an identifiable segment, the achievement of which yields specific results that can be observed or measured. Therefore, each milestone is a control point at which adjustments can be made.

A further refinement of the Gantt and milestone charts was developed by the U.S. Navy in the late 1950s. It is called PERT (Program Evaluation and Review Technique) or Critical Path Charts. This refinement shows the critical paths between various program activities. The PERT chart may also include three time elements or estimates for each unit or subunit of activity in the PERT program: optimistic (if everything works exceptionally well and better than expected), most likely (if everything works about as expected), and pessimistic (if everything goes wrong, just short of disaster). Then an expected time can be calculated from the estimates. (All three estimates for each activity can be written on the chart between the activity and the one that follows.) After the time for each separate activity is calculated, the critical paths are identified—that is, those activities or events that take the longest time to complete and therefore have the least slack time. An analysis of the various critical paths helps the administrator monitor and adjust activity as needed to assure desired results. The three types of charts are compared in Figure 6-3.

> *"Administrator evaluation should never serve as the exclusive basis for personnel decisions about retention, promotion, or salary. At best, an evaluation can indicate whether job performance is above or below standard."*

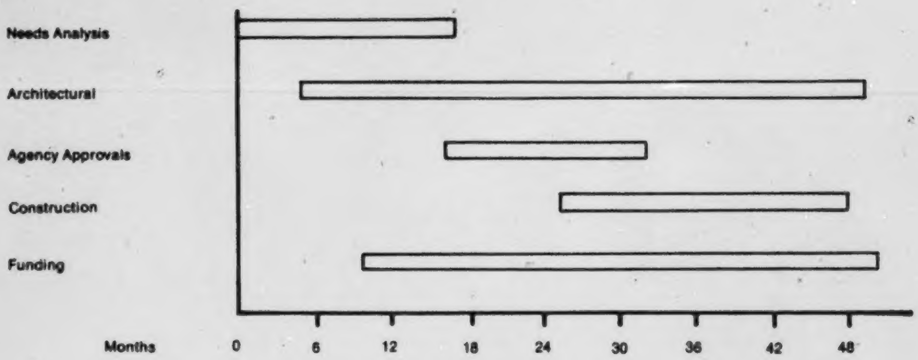
As Koontz and O'Donnell point out, while the PERT chart has several strengths, it has disadvantages too.[2] For vague "nebulous" programs where useful "guesstimates" cannot be made, it is not very useful. Nor is it practical for routine planning of recurring events. But its major disadvantage is its emphasis on time only, and not costs. On the other hand, PERT does force managers to plan because without planning a time-event analysis is impossible. PERT also requires planning all down the line; each subordinate must plan the event for which he is responsible. PERT focuses on critical elements that need special attention and correction and provides a kind of "forward-looking control"[3] because any delay will affect all subsequent events, and may make it impossible to complete the project on schedule unless the manager is able to shorten the time needed for some action in the future. And, finally, the network system with subsystems highlights the places and levels in the organizational structure that need pressure for action at particular times.

---

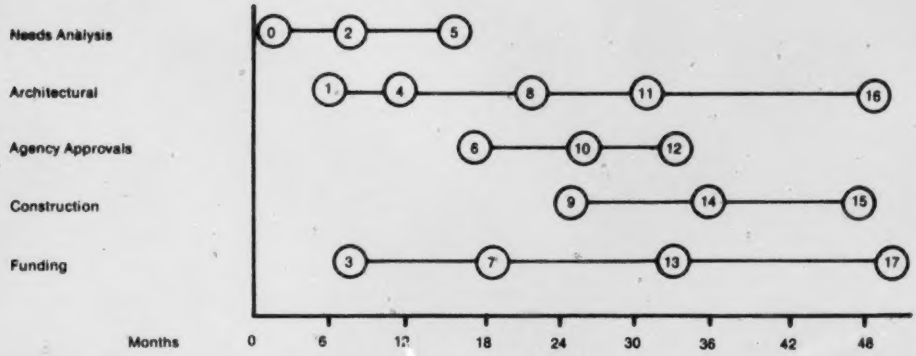
* Developed from Theo Haimann and William G. Scott, *Management in the Modern Organization* (Boston: Houghton Mifflin Co., 1970), pages 458-463.

FIGURE 6-3

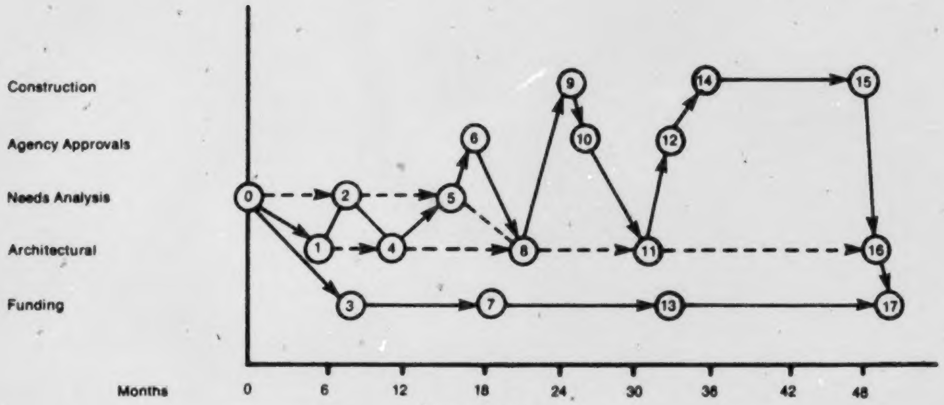
Time Event Charting*



GANTT CHART



MILESTONE CHARTS


Construction
Agency Approvals
Needs Analysis
Architectural
Funding
9
14
15
6
10
12
0
2
5
1
4
8
11
16
3
7
13
17
Months
0
6
12
18
24
30
36
42
48

PERT NETWORK

---

*The following numbers correspond to the numbers on the milestone and PERT charts: (1) selection of architect, (2) complete preliminary needs studies, (3) start funding plans, (4) conceptual studies completed, (5) institutional commitment, (6) identify jurisdictional agencies, (7) begin funding contacts, (8) design phase completed, (9) soil tests, (10) submit documents to agencies, (11) construction documents completed, (12) agency approvals granted, (13) funding arranged, (14) construction contracts awarded, (15) project completed, (16) inspections, (17) funding completed.

Basic Elements of Monitoring

While there is some reluctance to institute formal monitoring systems in higher education, informal monitoring is widespread. Peers monitor each other's work continually, and students and graduate assistants monitor—perhaps with excessive enthusiasm—the performance of faculty, administration, and staff. Administrators are often more open to formal monitoring than others because they are held accountable by trustees, constituents, and even the courts for certain goals, programs, budgets, personnel procedures, financial assets, and liabilities. Again it must be stressed that monitoring should be forward looking. Using monitoring for punitive purposes is self-defeating because feedback will soon become distorted or stop altogether.

"Personal observation must be the oldest monitoring method known to man. While it isn't sufficient by itself, personal inspection can provide information that is not available in written reports or budgets."

In order for monitoring to be effective, it should contain some—if not all—of the following elements: (1) It should be rational and easily communicated so that others understand its purpose, how it works, and how it will be used. (2) It should be designed to fit the program and situation; it should be consistent with the mission, goals, and personalities of the people involved; and it should be as objective as possible. (3) It should be based on the exception concept—it should identify deviations. This saves the time of the administrator, does not unduly lower morale, and provides warning when corrective action is needed. (4) It should be flexible because unforeseen events are sure to occur, and monitoring will need to be adjusted to fit changing situations. (5) It should be economical, that is, the data obtained and the results should be equal to or greater than the expense. (6) It should be timely so that rapid reporting of problems can lead to early corrective action.

EVALUATION OF COLLEGE ADMINISTRATORS*

Frank Mensel, Executive Director of the College and University Personnel Association, recently observed that:

> One of the colossal ironies about higher education . . . is that it is easily the largest, most significant molder of manpower and talent in our society—yet among the nation's larger institutions, in such critical internal functions as organization, training, upward mobility, and human resource management generally, it stands dead last.[4]

In the early 1970s, increasing demand for accountability in all sectors of the college and university community led inevitably to an increased interest in the evaluation of the performance of administrators as well as faculty. One result was the proliferation of forms, procedures, and theories about evaluation of faculty, particularly by students. With increased interest in faculty evaluation came a corresponding interest in faculty development. Similarly, in the mid-1970s a growing concern for administrator evaluation (forms, procedures, and theory) led to a new interest in administrator development.

Functions of Administrator Evaluation

Administrator evaluation, while originally a response to external demands for accountability, serves many additional functions as well. Genova, Madoff, Chin, and Thomas identify nine functions.[5]

(1) Administrator evaluation can be and often is used to determine personnel decisions regarding retention, promotion, and salary.

(2) Administrator evaluation can serve as a basis for administrator development—especially if it incorporates observation, diagnosis, and training. (See Chapter 7.)

(3) Administrator evaluation can be linked to the identification and measurement of specific objectives through a management-by-objectives program. In this way the institution or department uses evaluation as a tool for monitoring the attainment of objectives and consequently as a vehicle for planning.

(4) Administrator evaluation can serve as a team-building procedure. (See Chapter 7.) Members of an administrative team can improve their teamwork by sharing evaluative data in a constructive, problem-solving manner.

(5) Administrator evaluation can be used to assess the strengths and weaknesses of an administrative staff. Detailed performance standards can be of particular value in this regard. The appraisals of members of the administrative unit can be compared and integrated so that strengths will be fully employed.

(6) Administrator evaluation can provide information to governing boards and chief administrators about the degree of congruence between declared institutional policy and actual administrative action. In addition, external audiences, such as legislators, funding agencies, foundations, alumni, and constituents can be kept abreast of administrative efforts and achievements.

(7) Administrator evaluation is linked to the need for accountability throughout a college or university. Since there is an increasing emphasis on evaluation of faculty by students and administrators, it logically fol-

---

*Taken in part from the article "Administrative Evaluation," written by William H. Bergquist and Garrett J. TenBrink for *International Encyclopedia of Higher Education*, ed. Asa Knowles (San Francisco: Jossey-Bass, in press).

lows that faculty and students should evaluate administrators.

(8) Administrator evaluation can be used to convince both internal audiences (students and faculty) and external publics (parents, taxpayers, government officials) that administrators not only perform effectively but perform functions essential to the institution.

(9) Administrator evaluation aids in research and development needed to determine factors that influence administrative effectiveness.

"Perhaps the most important function of an administrator evaluation process is to serve as model and incentive for evaluative processes in other segments of the institution."

To this list of nine functions three others should be added:

(10) A performance evaluation can help an administrator determine whether he understands perceptions of his own performance held by his colleagues, supervisors, and subordinates. This can be done by asking the administrator how he expects these other people to evaluate him. A comparison of his expectations with the actual results tells him how well he understands others' perceptions. If his predictions are too far off, he may wish to reexamine and modify the ways in which he obtains feedback from others about his job performance.

(11) An effective evaluation procedure should help a college or university administrator and his supervisor define his role in the institution. But this cannot be done unless the first four managerial functions—planning, organization, staffing, and leading—have been adequately performed. Without successful accomplishment of these administrative functions, it will be difficult to evaluate an administrator's performance.

(12) Perhaps the most important function of an administrator evaluation process is to serve as model and incentive for evaluative processes in other segments of the institution. The staff member who sees that key administrators are also undergoing evaluation is less likely to resist his own evaluation. For example, when Richard Gross was academic dean at Gordon College in Wenham, Massachusetts, he was one of the first participants in a self-evaluative process that led to the creation of professional growth contracts for administrators and faculty. The success of this process at Gordon is undoubtedly due, at least in part, to the fact that Gross, who is now president of the college, participated in it as an administrator.

Problems of Administrator Evaluation

Paul Dressel recently identified four major problems in starting an administrator evaluation program. First, neither college administration nor how it differs from business practices is clearly defined.

> The definition of administration in higher education cannot be equated with the definition and terms used in business. . . . [T]he major chores of higher education institutions are performed by faculty members, who, to a much greater extent than the workers in a business, are autonomous both in what they do and how they do it. The faculty expects and even believes that it delegates certain prerogatives to the administrator largely to save faculty time for more important matters.[6]

Secondly, not only are the role and purpose of the administrator often unclear but so are formal lines of authority. Evaluation is very difficult in such an organizational setting. A lack of clarity also exists at the institutional level, and there are no commonly accepted criteria of success.

> Every administrator and faculty member talks about quality. Every institution according to its own descriptions provides high-quality programs. Lacking either locally or generally acceptable criteria of success, each institution and program lays claim to excellence. . . .[7]

Without established criteria (standards), it is difficult to measure the performance of an administrator. The same problem, of course, exists in the evaluation of faculty performance; however, for faculty members the problem is smaller in scope because their area of accountability is a much more precisely and narrowly defined aspect of the institution's life.

"In academic institutions, where criteria for administrative success are often vague or contradictory, a portfolio approach to evaluation may be one of the most appropriate."

A fourth problem area, according to Dressel, is the inconsistency in the words and acts of many administrators.

> Administrators at every level deal with several different constituencies, and the communications addressed to one are often carefully contrived to appeal to that particular group. . . . [T]he problems of communication are complicated by the tendency of some individuals to withhold information as a means to power, while an excessive stream of communication by others clogs the channels and is ignored.[8]

This often makes it hard to assess an administrator's words and actions out of their original context. Similarly, an administrator's performance evaluation cannot be based on the impact he has made on any one of the institution's constituencies since his performance may vary widely from constituency to constituency. Effective performance by a college or university administrator may require the skills of a mayor or city council member rather than those of a corporate executive. Just as it is hard for the voting public to reach a fair evaluation of the performance of their elected officials, it is also hard to evaluate the performances of college and university administrators unless mission, goals, objectives, and standards have been defined and agreed upon. (See *Document 6-2*.)

Six Approaches to Administrator Evaluation

With these problems to consider—and undoubtedly many more that could be identified—great care is necessary in selecting or designing an evaluation procedure. Evaluative models from other types of institutions may be helpful as guides, but they will undoubtedly need to be modified to fit the unique norms and modes of operation of a particular institution.

In spite of this need for an individualized procedure, no administrator has to start from scratch, for several different approaches to evaluation are now used at various colleges and universities throughout the United States. These approaches fall into six categories: unstructured narration, unstructured documentation, structured narration, rating scales, structured documentation (portfolios), and management-by-objectives.

Unstructured Narration

This approach is probably the most commonly used evaluative procedure for college administrators. The evaluator (in some instances the administrator himself) is asked to prepare a report summarizing the activities or achievements of the administrator over a specific period, such as one term, one year, or three years. If written job specifications, position descriptions, and standards of performance have been prepared, much evaluative information can be taken from these documents. Typically, however, the criteria of evaluation are usually implicit and are often defined by the person who writes the evaluative report. Ideally, the criteria are responsive to the expectations of the administrator's supervisor and other key leaders of the institution.

While the unstructured narration purports to describe the administrator's activities or achievements, in fact it usually describes his traits or characteristics, such as initiative, friendliness, and creativity. Only when the administrator is writing his own evaluation does the narration turn primarily to activities and accomplishments. The unstructured narration is valuable when standards of performance are unclear and cannot be easily clarified, and this is why it is used so often in higher education. It is also particularly appropriate for an administrator who is performing a highly technical assignment or working on a creative or specialized task over a long period of time.

Unstructured Documentation

Like the unstructured narration, the unstructured documentation procedure relies on implicit evaluative criteria. It is often based on self-evaluation. An administrator is required to document his activities or achievements in concrete terms: scheduled events, evaluations by program participants, achievements, standards met, letters of recommendation (themselves unstructured narrations), and a log of daily activities. Because the administrator selects the documents himself, he usually includes only positive evidence unless standards of performance are in force, or the self-evaluation is linked to a developmental effort. (See Chapter 7.)

If members of an administrative unit share their documents, especially as a means of identifying staff strengths, needs, and responsibilities, then this procedure can effectively serve team-building and resource assessment purposes. But although the unstructured documentation procedure can meet many of the functions of administrative evaluation, it is usually much less effective and takes more time than several of the procedures described below.

Structured Narration

This procedure relies primarily on the short-answer question. (See *Document 6-3*.) The evaluator answers a series of questions concerning administrative performances. For example, "In what areas of this person's job is improvement clearly needed?" "Describe the professional practices of this administrator in terms of initiative and vitality." "To what extent has this administrator accomplished the following objectives . . . ?" This procedure permits several people to evaluate the administrator (anonymously) and usually includes a rating scale for more detailed and specific information.

Structured narrations can be designed to provide most of the twelve functions of administrator evaluation previously discussed. For example, an inventory of resources and needs can be constructed from carefully formulated questions about administrative strengths and weaknesses. And if the questions are posed in a diagnostic rather than an evaluative manner, the results can be useful for administrator development. On the other hand, the structured narration is usually not specific enough to satisfy the need for accountability or to provide information for research purposes or management-by-objectives.

Rating Scales

Much of the attention in the field of administrator evaluation (as in faculty evaluation) centers on the development and use of rating scales. (See *Documents 6-4* and *6-5*.) In most instances, these scales are used by supervisors or subordinates to assess individual performance. However, other kinds of rating scales, such as the College and University Environmental Scales (distributed by the Educational Testing Service, Princeton, New Jersey), assess the characteristics of the institutional environment for which the administrator is held accountable. This environmental approach is based on the assumption that a high-level administrator is ultimately capable of influencing, and is therefore accountable for, most aspects of the

261

campus. When used with care, environmental scale results can be helpful in evaluating high-level administrators if analyzed in conjunction with data focusing on his traits, activities, or outcomes that directly influence the campus environment.

Most of the rating scales currently in use focus on seven areas: (1) *Knowledge and capacity*. The administrator's job-related skills and understanding; his comprehension of modern management techniques, his physical and mental vigor, intellectual and cultural interests, and knowledge of and interest in higher education in general. (2) *Dependability*. He meets deadlines, keeps up with schedules, satisfies expectations. He has a strong sense of responsibility, initiative, and integrity. He is always punctual and appropriately dressed. (3) *Adaptability*. He plans effectively and imaginatively; he has good judgment and mental stability, but can anticipate and is not afraid to innovate. (4) *Interpersonal relationships*. He manages conflict skillfully; he is adept at verbal and nonverbal communication, team management, and leadership. An effective administrator is tactful and can work well with different kinds of people; he strives for consensus among his subordinates, and judges people perceptively and fairly. (5) *Commitment to professional growth*. This includes commitment to excellence and professional improvement both for himself and his subordinates; he instills enthusiasm for professional goals in others and accepts suggestions on professional matters. (6) *Resource and personnel management*. He pays attention to detail while concentrating on basic issues rather than trivia. Cost awareness and the ability to say "no" effectively when necessary are also essential. He has sound judgment about situations and problems and makes decisions promptly and effectively; he maintains his efficiency through delegation of responsibility and the necessary authority; he processes detailed routine tasks efficiently and establishes uniform procedures. (7) *Institutional loyalty*. He has a strong commitment to service; he participates in campus activities and works in the community for support of the institution. He can and does inspire enthusiasm for institutional goals.

"In the mid-1970s a growing concern for administrator evaluation (forms, procedures, and theory) led to a new interest in administrator development."

In general, rating scales focus on traits, though some assess the quantity (activities) or quality (outcomes) of work performed by the administrator.[9] Several scales assess the quality of relationships between the administrator and faculty with whom he works. But few instruments, if any, contain items that deal with the relationship between administrators and students, trustees, alumni, or members of the local community.

As an instrument for developmental purposes (see number 2, "Functions of Administrator Evaluation," above), a rating scale is usually not specific enough. (The DECA system (*Document 6-6*) may be an exception.) If peer ratings are shared, the administrative rating scale can be used effectively with administrative teams (number 4), and it can also be used as a perception check (number 10) if anticipated ratings by peers, supervisors, or subordinates are compared with actual ratings. Their quantitative nature makes rating scales an excellent research tool (number 9). They are, however, frequently used inappropriately to meet the need for assessing accountability (numbers 6 and 7).

Structured Documentation (Portfolios)

This approach has been used for many years in the creative and performing arts. It requires that both supervisor and administrator accept a set of categories comprising the domain in which the evaluation is to take place. These categories might relate to job functions, skill areas, or performance objectives. Once the categories for documentation are established, the administrator is responsible for documenting his success in each area. Other people might be included in the process to help establish the categories, review the documents, or arbitrate disagreements between the superior and administrator. These individuals might be subordinates, peers, instructors, alumni, or members of the local community.[10]

"Much of the attention in the field of administrator evaluation (as in faculty evaluation) centers on the development and use of rating scales."

The portfolio can be an effective, although initially inefficient, procedure for personnel decisions (function number 1) and can be used in many administrative development programs (number 2), such as professional growth contracts. It can also be involved in institutional goal setting (number 3) and role clarification (number 11) if the development of categories is made part of the clarification of goals or roles. As a vehicle for team building (number 4), portfolios are very effective, especially if the team is involved in the establishment of the portfolio categories or documents.

Since a portfolio is developed by and for an individual, the procedure is rarely useful in building a personnel inventory (number 5) or checking perceptions (number 10). Nor is it appropriate for research purposes (number 9) unless the research incorporates flexible, investigatory methods such as "illuminative evaluation"[11] or "action research." As a vehicle for accountability (numbers 6, 7, and 8) and as a model for professional development (number 12), the portfolio is uniquely appropriate. The contracting that occurs between a supervisor (or portfolio committee) and administrator clarifies and expands upon accountability, while involving several people in a valuable experience. In academic institutions, where criteria for administrative success are often vague or contradictory, a portfolio approach to evaluation may be one of the most appropriate.

Management-by-Objectives (MBO)

This comprehensive system for personnel management minimizes the use of power while maximizing control of administrative processes through a clear specification of goals.[12] An effective MBO program begins with a clear statement of mission and goals and links them with the identification, clarification, or construction of concrete objectives.

MBO programs encounter several significant problems in implementation at a college or university. First, most college and university administrators cannot clearly and consistently state institutional or program mission or goals; nor can quantifiable objectives be easily derived from the educational philosophies or practices of the institution. Furthermore, an MBO program requires a clear consensus concerning the current status of the institution, its goals, and programs—otherwise the objectives may be either unrealistic or insignificant. An effective MBO program must be closely linked with an institutional research program that provides data directly related to the goals and objectives of the institution.[13] Unfortunately this interrelationship rarely exists on college campuses. Finally, an MBO program involves highly sophisticated management practices and relies on the competence and self-direction of the participating administrators. An MBO program is frequently introduced precipitously without the extensive professional training and organizational development that should precede or accompany it.

As a method of administrator evaluation, MBO can provide an equitable process for measuring administrative performance against prespecified objectives. As such, it is a goal toward which a college might work. But most college administrators should first consider the other evaluative approaches and before attempting an MBO program should carefully assess institutional resources (research, training, and development) to determine if such a program would be realistic.

A CAUTIONARY NOTE

Regardless of the evaluation procedure used, the results should be treated with sensitivity and care. An evaluation provides only a rough assessment of the complex tasks that an administrator performs and the subtle effects that he has on an institution. Administrator evaluation should never serve as the exclusive basis for personnel decisions about retention, promotion, or salary. At best, an evaluation can indicate whether job performance is above or below standard,[14] but it can rarely provide information to show *why*—or even *if*—an administrator's performance is exceptional. Neither will an evaluation help an inadequate administrator determine why he is not successful. In other words, an evaluation procedure may indicate results (success or failure) but it usually provides no explanations.

NOTES

1 Richard M. Hodgetts, *Management: Theory, Process, and Practice* (Philadelphia: W. B. Saunders Co., 1975), p. 213.

2 Harold Koontz and Cyril O'Donnell, *Essentials of Management*, 2d ed. (New York: McGraw-Hill, 1978), p. 503.

3 Koontz and O'Donnell, p. 503.

4 R. Frank Mensel, "Human Resource Development," presentation made at "Running Higher Education," a conference sponsored by the Council for the Advancement of Small Colleges (CASC) and the American Association for Higher Education (AAHE), February 1977.

5 William J. Genova, Marjorie K. Madoff, Robert Chin, and George B. Thomas, *Mutual Benefit Evaluation of Faculty and Administrators in Higher Education* (Cambridge, Mass.: Ballinger Pub. Co., 1976), chapter 3.

6 Paul L. Dressel, *Handbook of Academic Evaluation* (San Francisco: Jossey-Bass, 1976), chapter 16, p. 378.

7 Dressel, p. 381.

8 Dressel, pp. 381-382.

9 Richard I. Miller, *Developing Programs for Faculty Evaluation* (San Francisco: Jossey-Bass, 1974), chapter 5; and Dressel, pp. 388-393.

10 For a full description of this subtle and somewhat complex procedure, see William H. Bergquist and Steven R. Phillips, *A Handbook for Faculty Development*, ed. Gary H. Quehl (Washington, D.C.: The Council for the Advancement of Small Colleges and Pacific Soundings Press, 1977), vol. 2, chapter 3.

11 Malcolm R. Parlett and David Hamilton, *Evaluation as Illumination: A New Approach to the Study of Innovatory Programs* (Edinburgh: Centre for Research in the Educational Sciences, University of Edinburgh, 1972).

12 Robert E. Lahti, *Innovative College Management* (San Francisco: Jossey-Bass, 1973).

13 William H. Bergquist and William A. Shoemaker, eds., *A Comprehensive Approach to Institutional Development*, New Directions for Higher Education, no. 15 (San Francisco, Jossey-Bass, 1976).

14 Alan L. Patz, "Performance Appraisal: Useful but Still Resisted," *Harvard Business Review* 53 (May-June 1975): 74-80.

Documents
Chapter 6

Document 6-1

Title: A Program for Improving Departmental Effectiveness

Sources: Benjamin E. Sprunger; Robert Baptista, Taylor University; and Donald Mitchell, Wheaton College

A Program for Improving Departmental Effectiveness

Purpose: The evaluation of effectiveness (doing the right things) and efficiency (doing things right) is generally a rather haphazard affair on the college campus. Academic departments are frequently judged on hearsay evidence or questionable statistical reports. It is sometimes assumed that numbers of majors, lack of complaint, or faculty enthusiasm indicates departmental strength or that severity in grading procedures guarantees academic respectability. In addition, administrative offices are rarely evaluated by anyone. Thus, everyone on campus tends to "go it alone" with only superficial reports to some higher administrator or occasional visits by accrediting teams encouraging any attempt to evaluate what actually is being accomplished.

In addition, another problem seems common to institutions of higher education. Members of college governing boards rarely have the opportunity to view from the grass-roots level the educational or administrative procedures for which they assume ultimate responsibility. Much of what the trustees know about the actual operation of the institution comes to them via official administrative reports or unofficial "grapevine" sources whose validity is subject to suspicion.

The Program: In an attempt to alleviate such problems, an evaluation/audit program is proposed. This program will involve all administrative offices and academic departments over a five-year period and will actively involve faculty members, administrators, and members of the college board of trustees. The program, as outlined, will provide a frank and constructive assessment of the work of each office or department and will provide faculty, administration, and members of the trustee board with a firsthand view of departmental strengths, weaknesses, problems, and projected plans.

Offices/departments to be evaluated prepare, prior to the visitation, a written self-study report which will be available to the visiting team before the campus visit. The self-study includes a brief history of the office/department, a description of present activities and offerings, and any projected plans designed to remove present limitations or to strengthen the office/departmental program.

A three-person evaluation team spends two full days on campus. The team includes an individual from the particular discipline being examined who has achieved distinction and is a member of the faculty or administrative staff of another college or university; an alumnus who has achieved distinction, has majored in the department being evaluated, has pursued graduate study; and a member of the college board of trustees. Administrative officers or chairpersons of offices/departments being evaluated are responsible for many of the administrative and organizational details involved in the visit.

It is expected that members of the visiting team will review the written self-study prior to the visitation. During the first day on campus, the consultants attend a general orientation session with the office/departmental representatives followed by class and laboratory visitation as well as consultation with students, faculty members, and other administrators. Visitation and consultation continue throughout the second day along with discussions with student groups, departmental representatives, and college administrators as deemed necessary.

Following the campus visit, the evaluating team prepares a written evaluation report (the team determines its own procedure under the leadership of the non-alumni consultant). Reports dealing with administrative offices are submitted to the president and reports dealing with academic departments are submitted to the dean of the university. Consultants are encouraged to emphasize the unique features of the office/department, to point out unusual strengths or weaknesses, to evaluate contemplated plans for improvement, and to recommend future courses of action. The trustee representative on the evaluation team reports findings and recommendations to the full board. It is anticipated that the trustee will submit a written report and also give an oral report based upon the written evaluation team report and his own personal observations. It is anticipated that this program will draw the board increasingly into campus life to better acquaint them with the day-to-day college operations and to apprise them of departmental strengths, limitations, and plans for the future.

Document 6-2

Title: Ratings of Ideal and Actual Performance of an Administrator

Source: Glen K. Rasmussen, President, Findlay College

General Description:

The author of this instrument, Glen Rasmussen, concludes, with considerable justification, that an evaluation instrument that simply asks subordinates, faculty, or others to rate the performance of an administrator with reference to a series of functions might not be very useful. Such an instrument is built on the assumption that the perfect administrator would be given the top rating on each of these functions. Yet as Rasmussen notes in a position paper that accompanies the instrument:

> Anyone familiar with educational administration realizes that colleges have different "life styles" and that even within a single institution different leadership styles may be needed at different periods in the college's history.

Rasmussen believes that it is even more important to recognize that not all constituencies in a college or university (president, vice-presidents, faculty, and so forth) will agree on what should be done by the administrator who is being evaluated.

Rasmussen advocates an evaluation system that will yield the following information:

1. The administrator's self-evaluation. How well is he meeting his own performance goals?
2. The mean evaluation scores for each subordinate group for which the administrator is immediately responsible (for example, the mean rating of the dean by faculty). How well is the administrator meeting the average performance goals his subordinates hold for him?
3. The individual subordinate evaluation of the administrator. How well is the administrator meeting the performance goals held by each of the subordinates who is evaluating him?
4. The supervisor's evaluation of the administrator. How well is the administrator meeting the supervisor's goals for him?
5. The evaluation by subordinates of how well the administrator is meeting his own performance goals.
6. The supervisor's evaluation of how well the administrator is meeting his own performance goals.

Instructions for Use:

The questionnaire that Rasmussen drafted to test the effectiveness of this procedure concerned the deanship (the position he held at the time). Much as Richard Gross at Gordon College developed the growth contract procedure by formulating a contract for himself, Rasmussen has begun by constructing an instrument to be used in the assessment of his own performance. The subsequent examples and actual instrument will therefore focus on the evaluation of a dean, but can be readily modified for use in the evaluation of other administrative positions.

The instrument or system that Rasmussen devised to accomplish the six goals outlined above consists of twenty-two separate functions or personal traits that are of key importance in the effectiveness of the dean's performance. Each item is described in behavioral terms and consists of four parts:

1. A statement concerning the academic dean's function [**s**]
2. A continuum on this statement [**c**]
3. Evaluator's estimate of where the "ideal dean" would be on this continuum [**I**]
4. Evaluator's estimate of the dean's actual performance on this continuum [**a**]

Evaluation item Number I will serve to clarify the method.

I. Administrative Management

s. The academic dean performs or supervises many administrative functions. This includes such things as class schedules, budgets, committee assignments, etc.

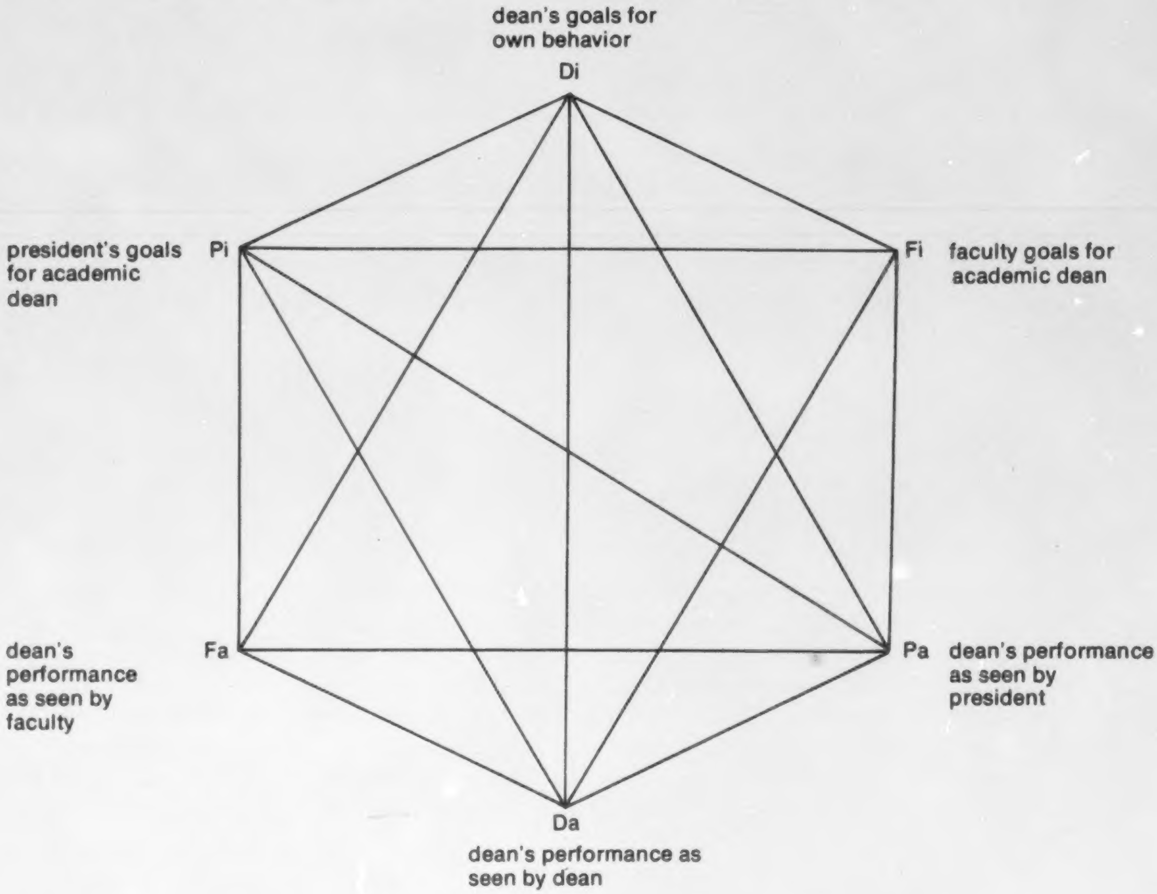
1	4	7
c. The dean is efficient and effective in handling administrative functions.	The dean handles some administrative functions well and some rather poorly.	The dean is inefficient and ineffective in dealing with administrative functions.

I. Ideally, the dean should be at point _____.

a. Actually, the dean is at point _____.

Questionnaire items deal with such things as administrative routines, executive judgment, really "listening" to faculty members, fairness, honesty, skill in the recruitment of new faculty, and defending academic freedom. Faculty, president, and dean rate both "ideal behavior for the dean" and their perception of the dean's actual behavior on a scale from "1" to "7." A rating of "4" would indicate behavior midway between statements "1" and "7."

The following schematic indicates some of the uses of the questionnaire:


dean's goals for own behavior
Di
president's goals for academic dean
Pi
Fi
faculty goals for academic dean
dean's performance as seen by faculty
Fa
Pa
dean's performance as seen by president
Da
dean's performance as seen by dean

Di − Da For each of the 22 items the discrepancy between the dean's ideal goals for his performance and his actual performance as he sees it will indicate how closely the dean is meeting his own professional goals. If the discrepancies are summed on the 22 items and the questionnaire is administered every two or three years, the comparisons of the scores will yield some measure of the dean's perception of his/her professional progress.

$Di \pm \Sigma Fa/N$ This measure indicates how well the dean is meeting his/her ideal goals as judged by the faculty. For each of the 22 items, mean performance is established on that item by adding all the faculty "a" responses and dividing by the number of faculty. The discrepancy between this number and the dean's response to the "i" part of that item provides an evaluation on each questionnaire item.

$\Sigma Fi/N \pm \Sigma Fa/N$ This measure indicates how well the dean is meeting the main goals the faculty as a whole hold for him/her. For each of the 22 items, the faculty's response to the "i" item is summed and divided by the number of responses. The next step is to sum the responses to the "a" item and divide by the number of responses. The discrepancy between these two mean responses indicates how closely the dean's performance as they see it matches the goals the faculty collectively hold for him/her. Summing the discrepancy for all 22 items yields a measure of the faculty's general level of satisfaction regarding the dean's performance.

$\Sigma Fi \pm Fa$	This measure indicates how each member of the faculty perceives the dean's behavior relative to the goals that faculty members hold for him/her. The sum of the "i" ± "a" discrepancy for the 22 items indicates the individual faculty member's evaluation of the dean. Using this same measure, adding the totals of all faculty and dividing by the number of faculty provides an indication of how the faculty as a whole see the dean as meeting their goals for him/her. When this is done every two or three years, the dean can determine whether his/her performance as dean is getting better or worse marks from the faculty.
$Di \pm \Sigma Fi/N$	This measure indicates how the faculty's goals for the dean differ from his/her own goals. A large discrepancy on an individual item probably indicates a need for more effective communication. If there is a large discrepancy on most of the items it probably indicates a poor match between the dean and the faculty.
$Di \pm Pi$	This measure indicates how closely the dean's performance goals coincide with the president's goals for him/her. Academic deans normally serve as a mediator between the faculty and the president. If the faculty, the president, and the dean have widely divergent goals for the dean's performance, the dean is in an impossible situation. If there is a large discrepancy on any of the items, the dean and president should certainly discuss the matter.
$Pi \pm Pa$	This is simply the president's evaluation of the academic dean. It will certainly be of interest and value to the dean.
$Pi \pm \Sigma Fi/N$	This indicates how closely the president's goals for the dean match the faculty's goals for him/her. The dean's position becomes more difficult as this discrepancy increases.
$Pi \pm \Sigma Fa/N$	This measure indicates how closely the dean's performance, as seen by the faculty, meets the president's goals for him/her.

For each of the 22 items and for all of the items together, a number of additional analyses are possible. Some of the most useful would be:

$Di \pm Pa$	The discrepancy between the dean's goals and the president's perception of his/her actual behavior.
$\Sigma Fi/N \pm Pa$	The discrepancy between the faculty's goals for the dean and his/her performance as seen by the president.
$\Sigma Fi/N \pm Da$	The discrepancy between the faculty's goals for the dean and the dean's performance as he/she sees it.

An earlier version of this instrument has been used by the academic deans of seven liberal arts colleges. In every instance, the dean has felt that he/she gained a great deal of information. In using this questionnaire with faculty, the academic dean should explain why it is being used and ask the faculty to elect one of their colleagues to collect and collate the information. This will assure anonymity of response. It is also helpful to have each respondent review the 22 items, putting a "+" in front of the seven items he/she regards as most important, and a "−" in front of the seven items he/she regards as least important. It is possible that in some situations a few of the items are of little importance. The academic dean will certainly be interested in those items judged to be "most important" by the faculty and the president.

The value of this questionnaire is not in the identification of the academic dean's functions or traits, but in the technique which identifies the professional values of the raters and how well the dean is meeting their expectations and his/her own.

President Glen Rasmussen (Findlay College, Findlay, Ohio 45840) will supply the questionnaires at cost and for a modest fee will score the responses and provide a written analysis.

(Please Do Not Sign Your Name)

Evaluation of the Academic Dean Rating Forms

The Academic Dean would appreciate your candid evaluation of his professional performance. Please elect a faculty member to pick up your completed questionnaires, collate them, and provide the Dean with the results. This will preserve anonymity.

There are no "correct" or "right" answers to any of these questions. Your opinion, along with the opinions of the rest of the faculty, will help the Dean recognize how well he is meeting your goals for him and his own professional goals.

Each item consists of four parts:

s. a statement concerning the Academic Dean's function
c. a continuum built on this statement
i. your estimate of where the "ideal" Dean in your college would be on this continuum
a. your estimate of the Dean's actual performance

Example:

s. Encouraging Faculty to Attend Professional Meetings
The Academic Dean is in a position to influence faculty to attend regional or national meetings dealing with their academic discipline.

	1	7
c.	The Dean actively discourages faculty attendance at professional meetings.	The Dean does everything he can to encourage faculty attendance at professional meetings.

i. Ideally, the Dean should be at point ___.
a. Actually, the Dean is at point ___.

Note:

Consider *c* above to be seven different points on a continuum. A rating of "4" would indicate complete neutrality or indifference on the Dean's part. A rating of "3" would indicate a slightly negative attitude, "5" a slightly positive attitude, "6" a very positive attitude, and "7" would indicate that the Dean goes so far as to keep a record of attendance at professional meetings and makes a point of putting pressure on individual faculty members to attend such meetings.

If you feel that *ideally* the Dean should encourage but not pressure faculty attendance at professional meetings, you would put down a "5" or a "6" for *i*.

If you feel that the Dean *actually* is ambivalent about faculty attendance at professional meetings, you would put down a "4" for *a*.

I. Administrative Management

s. The Academic Dean performs or supervises many administrative functions. This includes such things as class schedules, budgets, committee assignments, etc.

	1	4	7
c.	The Dean is efficient and effective in handling administrative functions.	The Dean handles some administrative functions well and some rather poorly.	The Dean is inefficient and ineffective in dealing with administrative functions.

i. Ideally, the Dean should be at point ____.
a. Actually, the Dean is at point ____.

II. Executive Judgment

s. As an administrator, the Academic Dean is called upon to make a number of significant decisions. Some must be made hastily and with little information. No one can be right all of the time. Here we are concerned with the ultimate wisdom of these executive actions or judgments.

	1	4	7
c.	When we look back at the Dean's judgments and the consequences of them, it appears that most of the time he has made a poor decision.	When we look back at the Dean's judgments and the consequences of them it appears that one-half of the time his decisions have been good ones.	When we look back at the Dean's judgments and the consequences of them, it appears that nearly all of the time he has made a sound decision.

i. Ideally, the Dean would be at point ____.
a. Actually, the Dean is at point ____.

III. Delegating Authority and Responsibility

s. In carrying out the work of the college, the Academic Dean is in a position to delegate authority and the requisite responsibility to department chairmen, division chairmen, and administrators reporting to the Dean.

	1	7
c.	The Dean is not skillful in delegating authority and responsibility to appropriate persons.	The Dean is skillful in delegating authority and responsibility to appropriate persons.

i. Ideally, the Dean would be at point ____.
a. Actually, the Dean is at point ____.

IV. Providing Academic Leadership

s. Some faculty groups need and want academic leadership. The Academic Dean is in a position where he can provide stimulating ideas to the faculty either through his own ingenuity or by using the ideas of others.

	1	7
c.	The Dean provides outstanding academic leadership. He brings many stimulating ideas to the attention of the faculty.	The Dean provides little or no academic leadership. He never brings stimulating ideas to the attention of the faculty.

i. Ideally, the Dean would be at point ____.
a. Actually, the Dean is at point ____.

V. Acting Decisively

s. The Academic Dean does not have complete freedom of movement in decision making. His authority is limited by faculty rights and procedures on one hand and the President and Board of Trustees on the other hand. In all situations, however, he does have some decision-making authority.

	1	7
c.	When most of the facts are available and a decision is needed, the Dean hesitates and is indecisive.	When most of the facts are available and a decision is needed, the Dean acts promptly and decisively.

i. Ideally, the Dean would be at point ____.
a. Actually, the Dean is at point ____.

Reminder:

Ratings of "1" and "7" are the extremes. Ratings of 2, 3, 4, 5, and 6 may be given.

VI. Planning Ability

s. The Academic Dean is often called upon to plan new programs, forecast future events, and prepare for them.

	1	7
c.	The Dean demonstrates little or no skill or foresight in college planning.	The Dean demonstrates great skill and foresight in college planning.

i. Ideally, the Dean would be at point ____.
a. Actually, the Dean is at point ____.

VII. Encouragement of Faculty Research

s. The Academic Dean is in a position to influence the research activities of faculty. Faculty research may be seen as more important in some institutions than it is in others.

	1	7
c.	The Dean does nothing to encourage faculty research.	The Dean does everything in his power to encourage faculty research.

i. Ideally, the Dean should be at point ____.
a. Actually, the Dean is at point ____.

VIII. Improvement of Teaching

s. The Academic Dean is in a key position regarding the quality of instruction. He may be able to influence teaching performance through the use of financial resources, consultants, etc.

	1	7
c.	The Dean does everything he can to help individuals and the faculty as a whole become better teachers.	The Dean does little or nothing to help individuals or the faculty as a whole become better teachers.

i. Ideally, the Dean should be at point ___.
a. Actually, the Dean is at point ___.

IX. Dean's Role as Faculty Representative

s. In most institutions the Academic Dean is responsible for representing the faculty to the President and the Board of Trustees.

	1	7
c.	The Dean can be counted upon to accurately and forcefully represent the concerns of the faculty to the President and the Board of Trustees.	The Dean does not represent faculty concerns to the President and the Board of Trustees.

i. Ideally, the Dean would be at point ___.
a. Actually, the Dean is at point ___.

X. Skill in Recruiting Faculty

s. The Academic Dean is in a key position in the recruitment and selection of new faculty.

	1	7
c.	The Dean does a very poor job in the recruitment of new faculty.	The Dean does an outstanding job in the recruitment of new faculty.

i. Ideally, the Dean should be at point ___.
a. Actually, the Dean is at point ___.

XI. Keeping Communication Lines Open

s. The Academic Dean is in a position to keep college communication lines open. Occasionally he will have certain information that he should not divulge, but generally he can share, and encourage others to share, information about the college.

	1	4	7
c.	The Dean does everything he can to facilitate the flow of information to faculty and staff.	The Dean does little to facilitate or inhibit the flow of information to faculty and staff.	The Dean tries to keep information lines closed to faculty and staff.

i. Ideally, the Dean should [illegible] point ___.
a. Actually, the Dean is at point ___.

XII. Providing Academic Freedom

s. The Academic Dean is in a key position in regard to academic freedom. He can act as a bulwark against attacks from both within and without the college.

	1	7
c.	The Dean does not provide or protect academic freedom.	The Dean can be relied upon to provide and protect academic freedom.

i. Ideally, the Dean should be at point ______.

a. Actually, the Dean is at point ______.

XIII. Skill in Working with Groups

s. The Academic Dean spends much of his time with committees and small groups. Most of those groups are engaged in defining and solving problems.

	1	7
c.	As a group member or leader, the Dean has little or no skill in helping the group define or solve its problems.	As a group member or leader, the Dean is very skillful in helping the group define and solve its problems.

i. Ideally, the Dean would be at point ______.

a. Actually, the Dean is at point ______.

XIV. Communicating Ideas

s. The Academic Dean is in a position to communicate ideas, solicit support for a program, explain curricular changes, or communicate other relatively abstract concepts to faculty and others.

	1	7
c.	The Dean communicates with clarity. After listening to him, you always feel you understand his meaning.	The Dean does not communicate with clarity. After listening to him, you are rarely sure of his meaning.

i. Ideally, the Dean would be at point ______.

a. Actually, the Dean is at point ______.

XV. Sensitivity to Faculty Concerns

s. The Academic Dean is in a position to be aware of matters that are of concern to academic divisions, departments, or individual faculty members.

	1	7
c.	The Dean is insensitive to faculty feelings and does not readily understand their relative level of concern about issues and problems.	The Dean is sensitive to faculty feelings and quick in discerning their relative level of concern about issues and problems.

i. Ideally, the Dean should be at point ______.

a. Actually, the Dean is at point ______.

XVI. Handling Conflict

s. The Academic Dean is in a position to be aware of any real or potential conflict between individuals or factions on the faculty or staff. It may not be wise to avoid conflict but his actions should help to reduce rather than increase disharmony.

	1	7
c.	The Dean does nothing to reduce intra-faculty conflict.	The Dean does everything possible to avoid or decrease unnecessary intra-faculty conflict.

i. Ideally, the Dean would be at point ______.
a. Actually, the Dean is at point ______.

XVII. Acceptance of New Ideas

s. In many institutions the Academic Dean is in a position where his attitude toward a new idea or academic program has a substantial influence upon institutional change.

	1	7
c.	The Dean is open to new ideas. He may not support every new proposal but his initial response is open and cordial.	The Dean is fearful of new ideas. His initial response to new proposals is negative.

i. Ideally, the Dean would be at point ______.
a. Actually, the Dean is at point ______.

XVIII. Availability to Faculty

s. The Academic Dean has a multitude of responsibilities. These responsibilities sometimes limit his time for personal consultation or discussion with individual faculty members.

	1	7
c.	The Dean usually avoids talking to faculty members. He prefers to be unavailable.	The Dean encourages faculty to talk to him whenever possible.

i. Ideally, the Dean would be at point ______.
a. Actually, the Dean is at point ______.

XIX. Listening to Faculty

s. The Academic Dean can learn little from faculty unless he "listens" to them. Listening to faculty does not necessarily mean agreeing with them. It does mean trying to understand their meaning.

	1	7
c.	The Dean seldom "listens." He is usually thinking of something else.	The Dean generally listens very carefully. He tries to understand the faculty member's meaning.

i. Ideally, the Dean would be at point______.
a. Actually, the Dean is at point______.

XX. Honesty

s. The Academic Dean deals with faculty on many important matters and over an extended time period. Faculty should not only have faith in the Dean's good intentions but confidence that his actions will not contradict his words.

	1	7
c.	The Dean is often dishonest or insincere. One cannot rely on his word.	The Dean is honest and sincere. One can always rely upon his word.

i. Ideally, the Dean should be at point_____.
a. Actually, the Dean is at point_____.

XXI. Personal/Professional Stability

s. As an administrator the Academic Dean should be reasonably resilient. When difficulties rise, his actions should be based upon logic and common sense rather than an emotional "set."

	1	7
c.	In response to difficult situations the Dean exhibits a high level of personal/professional stability.	In response to difficult situations, the Dean exhibits a low level of personal/professional stability.

i. Ideally, the Dean should be at point_____.
a. Actually, the Dean is at point_____.

XXII. Fairness

s. Like everyone else, the Academic Dean has social preferences. He should, however, separate his social and professional feelings so that his social preferences do not affect the instructional program.

	1	7
c.	Knowingly or not, the Dean "plays favorites."	The Dean never allows his social preferences to influence his professional responsibilites.

i. Ideally, the Dean would be at point_____.
a. Actually, the Dean is at point_____.

You have evaluated the Academic Dean on the following items:

______ I Administrative Management
______ II Executive Judgment
______ III Delegating Authority & Responsibility
______ IV Providing Academic Leadership
______ V Acting Decisively
______ VI Planning Ability
______ VII Encouragement of Faculty Research
______ VIII Improvement of Teaching
______ IX Dean's Role as Faculty Representative
______ X Skill in Recruiting Faculty
______ XI Keeping Communication Lines Open
______ XII Providing Academic Freedom
______ XIII Skill in Working with Groups
______ XIV Communicating Ideas
______ XV Sensitivity to Faculty Concerns
______ XVI Handling Conflict
______ XVII Acceptance of New Ideas
______ XVIII Availability to Faculty
______ XIX Listening to Faculty
______ XX Honesty
______ XXI Personal/Professional Stability
______ XXII Fairness

In the space provided please put a "+" mark in front of the seven items you regard as the most important.

Please put a "–" mark in front of the seven items you regard as least important.

XXIII. The best thing to be said for the Dean or his office is:

____
____
____
____

XXIV. The worst thing about the Dean or his office isT

____
____
____
____

Glen R. Rasmussen, President
Findlay College
February 1978

Document 6-3

Title: Descriptions of Administrators

Source: University of Arkansas at Little Rock

General Description:

In the narrative portion of Chapter 6, we discussed the advantages and disadvantages of structured narration as a procedure for the evaluation of administrators. The four forms that are used by the staff at the University of Arkansas provide an excellent example of this procedure. In addition, these forms provide a valuable model for a system-based approach to evaluation: different forms, of an interrelated nature, have been developed for four different purposes: (a) the description of academic administrators, (b) the description by faculty of department chairmen, (c) the description by faculty of deans, and (d) the description by faculty of administrators (general).

Instructions for Use:

These forms can be used, without modification, by most colleges and universities. Additional questions might be added (and some items deleted) in order to make the instruments more responsive to the specific needs of the people who have requested the evaluation. As noted in our discussion of structured narration, these short-answer instruments can be easily modified to serve a variety of evaluative functions.

Description of Academic Administrators

Name of Academic Administrator ______________________________

Position ______________________________

(In order for this evaluation to be useful and informative, it will be necessary for you to include explanatory comment in addition to a simple "Yes" or "No" answer.)

1. What do you consider to be the function of this administrator's office and how well do you think he carries out this function? (I.e., do you view the function of the position to be a very limited one of carrying out predetermined responsibilities or do you view the function to be one of leadership, "moving-out," planning, etc.?)

2. To what extent does this administrator make clear to the University community his program and his future plans?

3. Do you feel that this administrator favors some academic units over others? If he does, what do you think are the reasons for such bias?

4. To what extent does this administrator encourage, permit, and solicit faculty participation in the functions of his office?

5. To what extent does this administrator give serious attention to faculty suggestions, requests, or problems to be solved?

6. To what extent does mutual respect exist between this administrator and those on the faculty with whom he does and should work?

7. What do you consider to be the outstanding aspect of the work of this administrator?

8. What do you consider to be the greatest weakness in the work of this administrator?

Faculty Description of Department Chairmen

Name of Department Chairman ______________________________

Department ______________________________

(In order for this evaluation to be useful and informative, it will be necessary for you to include explanatory comment in addition to a simple "Yes" or "No" answer.)

1. What do you consider to be the function of your department chairman's office and how well do you think he carries out this function? (E.g., do you view the function of the office to be a very limited one of coordinating departmental activities and representing the department in your school or college, or do you view the function to be a very broad one of leadership, responsibility, and authority for hiring, retention of personnel, departmental planning, and the determination of the curriculum?)

2. To what extent does your department chairman make clear his program and the part he expects every faculty member to play in it?

3. To what extent does your department chairman consult the faculty on hiring new faculty, granting tenure, and making promotions? Do you think consultation on these matters desirable?

4. Do you believe your department chairman is fair in recommending promotions and raises? In this regard do you think he puts too little or too much emphasis on publication? To what extent do you feel he considers good teaching and service to the department (advising, registering, committee assignments, etc.) in his recommendations for promotions and raises?

5. How readily accessible is your department chairman to his faculty?

6. To what extent does your department chairman encourage and permit faculty participation in policy decisions? Do you think he should invite such participation?

7. Is your department chairman active in contacting and recruiting well-qualified faculty members?

8. Is your department chairman aggressive in "going to bat" for his departmental needs as well as those of individual faculty members?

9. Is your department chairman fair in his assignment of classes and departmental duties?

10. How successful is your department chairman at easing intradepartmental frictions and eliciting the most productive effort from his faculty?

11. Do you feel that your department chairman is known and respected professionally among others in his discipline?

12. In your opinion does mutual respect exist between your department chairman and his faculty? If such respect does not exist, what is the reason?

Faculty Description of Deans

Name of Dean ____

Division ____

(In order for this evaluation to be useful and informative, it will be necessary for you to include explanatory comment in addition to a simple "Yes" or "No" answer.)

1. What do you consider to be the function of the dean's office and how well do you think he carries out this function? (E.g., do you view the function of the office to be a very limited one of coordinating interdepartmental activities and representing the school or college in University affairs, or do you view the function to be a very broad one of leadership, responsibility, and authority for hiring, retention of personnel, program planning, and the determination of curriculum in all departments within the school or college?)

2. To what extent does the dean make clear to his division his program and his future plans?

3. Do you feel that the dean favors one department or subject area? If he does, what do you think are the reasons for such bias?

4. To what extent does the dean encourage and permit faculty participation in the policy planning and decisions of his office?

5. To what extent does the dean give serious attention to faculty suggestions, requests, or problems to be solved?

6. Do you believe the dean is fair in his handling of raises and promotions? In this regard do you think the dean puts too little or too much emphasis on publication? To what extent do you feel he considers good teaching and service to the University in his review of raises and promotions?

7. In your opinion does mutual respect exist between the dean and his faculty? If such respect does not exist, what do you think is the reason?

Faculty Description of Administrators

Individual Evaluated: ______________________________ Position ______________

On the average I have contact with him: Daily ________ Weekly ______________
Bimonthly ________ Occasionally ________

I am: A student ______ A faculty member ______ An administrator ______ A professional staff member ______
Other ____

Listed below are a number of statements which describe aspects of administrator behavior. Rate the above administrator on each of these items by marking the appropriate response category. In making your rating the administrator should be compared with other administrators that you have known. If you are uncertain about a particular item or feel that it is not applicable in describing the administrator's behavior, mark the category labeled "Undecided."

CODE

1 - Low Score
2 - Below Average Score
3 - Average
4 - Above Average Score
5 - High Score
U - Undecided, Not Applicable

Evaluate the above administrator in terms of the degree to which he:

SCALE 1. COMMUNICATIONS

1. Communicates with you in a timely and responsive manner	1	2	3	4	5	U
2. Conducts decisive conferences and interviews	1	2	3	4	5	U
3. Writes letters or makes statements that seldom need clarification	1	2	3	4	5	U
4. Is duly sensitive to your needs for information	1	2	3	4	5	U
5. Has sufficient contact with you	1	2	3	4	5	U

SCALE 2. DECISION MAKING

6. Makes sound and timely decisions	1	2	3	4	5	U
7. Gathers pertinent facts before acting	1	2	3	4	5	U
8. Consults with others on important decisions	1	2	3	4	5	U
9. Applies policy consistently and fairly	1	2	3	4	5	U
10. Is skilled in participatory decision making	1	2	3	4	5	U
11. Has a sense of quality and standards	1	2	3	4	5	U
12. Understands the university well enough to refer matters to the proper offices for effective action	1	2	3	4	5	U

SCALE 3. OPERATIONS, DELEGATION OF RESPONSIBILITY

13. Initiates and sustains action toward defined goals	1	2	3	4	5	U
14. Assigns duties so as to maximize capabilities of those involved	1	2	3	4	5	U
15. Is skilled in those specialties demanded by his assignment	1	2	3	4	5	U
16. Appoints effective committees	1	2	3	4	5	U
17. Encourages initiative and performance by delegating tasks effectively to others	1	2	3	4	5	U

SCALE 4. HUMAN/PUBLIC RELATIONS

18. Establishes rapport easily and is approachable for counsel	1	2	3	4	5	U
19. Takes positive steps to counteract destructive rumors	1	2	3	4	5	U
20. Gives proper and generous credit to others for their contributions	1	2	3	4	5	U
21. Works well with committees	1	2	3	4	5	U
22. Is receptive to constructive suggestions for change	1	2	3	4	5	U
23. Encourages initiative and innovation	1	2	3	4	5	U

SCALE 5. PLANNING, PROBLEM SOLVING

24. Is alert to potential problems when plans are not working out in practice	1	2	3	4	5	U
25. Is able to cope with unanticipated events	1	2	3	4	5	U
26. Approaches problem solving on a systematic basis	1	2	3	4	5	U
27. Plans ahead for those activities under his cognizance	1	2	3	4	5	U
28. Makes time for planning by delegating routine work	1	2	3	4	5	U
29. Compared with other administrators at UALR, this administrator is (1) one of the worst, (2) below average, (3) average, (4) above average, (5) one of the best.	1	2	3	4	5	

Document 6-4

Title: Survey of College Administration Rating Scales

Source: William H. Bergquist and Karen L. McGee

General Description:

In conjunction with a CASC-sponsored seminar on the evaluation of college administrators, which was presented at the 1976 National Conference of the American Association for Higher Education, a survey was conducted of instruments for the evaluation of administrative performance. The most comprehensive of these instruments were included in the "Survey of College Administrative Rating Scales," which was distributed to the seminar participants. This survey does not present the instruments in their scale form, but rather indicates the characteristics that are being rated, as well as the rating categories that are being used in the scale.

Of the rating scales that are contained in this survey, we particularly recommend the forms that were prepared by Charles Farmer and Elaine Mann of the University of Tulsa. These forms, together with supportive data (reliability and validity), will be published in Farmer's forthcoming volume on administrative evaluation (Pacific Soundings Press, 1217 Campus Dr., Berkeley, California 94708) and are available from Farmer at the University of Tulsa (Tulsa, Oklahoma 74104). Several other excellent forms are offered in this volume: see *Documents 6-3, 6-5,* and *6-6*.

Instructions for Use:

This planning document is particularly useful for a committee or individual who has been assigned the task of developing an administrative evaluation form. The scales being described in this document will provide one with an overview of the current state-of-the-art, as well as a set of descriptive and rating categories from which one can derive an instrument particularly suited to the college or university.

Survey of College Administration Rating Scales

RATING SCALE FOR ACADEMIC ADMINISTRATION

I. **Source:** Tyrus Hillway, University of Northern Colorado

II. **Rating Categories:** High, fairly high, moderate, fairly low, low

III. **Characteristics Being Evaluated:**

1. Interest in the Progress of Education
2. Educational and Cultural Background
3. Sympathetic Attitude Toward Students
4. Fairness in Dealing with Students
5. Considerate Attitude Toward Faculty
6. Fairness in Dealing with Faculty
7. Self-Adjustment and Sense of Humor
8. Tolerance of New Ideas
9. Trustworthiness (Honesty, Reliability)
10. Skill in Securing Group Action
11. Ability to Inspire Confidence
12. Ability to Organize
13. Ability to Evaluate Faculty Performance
14. Ability to Maintain Faculty Morale
15. Appearance (Appropriate Dress, Grooming)

Methods employed by the administrator:

1. Encourages Democratic Participation
2. Communicates Effectively with Group Members
3. Presents Appropriate Materials for Group Action
4. Adheres Faithfully to Group Decisions
5. Respects Professional Right of Faculty
6. Assigns Work Fairly and Suitably
7. Makes Fair Decisions on Promotions and Salary
8. Makes Contributions to his Academic Field
9. Uses Generally Appropriate Administrative Methods
10. Overall Rating of Administrator

EMPLOYEE PERFORMANCE EVALUATION

I. **Source:** Kent State University

II. **Rating Categories:** Scale of 1-10

III. **Characteristics Being Evaluated:**

1. Quality of Work (Accuracy, Neatness, Thoroughness)
2. Quantity of Work (Volume, Amount, Speed)
3. Knowledge of Work
4. Adaptability (Adjustment to Change, Ability to Learn)
5. Dependability (Reliability)
6. Cooperation (Working with Other Employees)
7. Judgment (Ability to Make Decisions, Plan Work)
8. Initiative (Motivation, Interest in Work)
9. Personality (Courtesy, Appearance, Public Relations)

PERFORMANCE EVALUATION

I. **Source:** University of Rochester

II. **Rating Categories:** Outstanding, exceeds requirements, fully meets requirements, needs improvement, inadequate

III. **Characteristics Being Evaluated:**

1. Quality of Work
2. Quantity of Work
3. Meeting Expectations—Work Schedules
4. Interpersonal Relationships Affecting Job
5. Initiative Displayed
6. Cost-Awareness
7. Other (Specify)
8. Indicate Staff Member's Outstanding Accomplishment(s) Since Last Review
9. Indicate How Staff Member's Work Needs Improvement
10. Recommendations for Additional Education, Training, or Experience

ADMINISTRATIVE STAFF EVALUATION GUIDE

I. **Source:** Robert O. Riggs

II. **Rating Categories:**

III. **Characteristics Being Evaluated:**

1. *Awareness and Anticipation*—Psychological readiness to look ahead, forecast future events, and prepare for them.
2. *Initiative*—Capacity to act promptly on matters that need attention; self-starting ability.
3. *Sense of Responsibility*—Feeling of concern for the welfare of the total campus as well as for specifically assigned responsibilities.
4. *Commitment to Excellence*—Willingness to strive personally for superior quality performance in every administrative task and to expect it of those who work under our supervision.
5. *Commitment to Service*—Manifest awareness that the University exists to serve the educational needs of the students and the general public.
6. *Participation in Activities of Campus Community*—Degree of involvement in a broad range of campus activities.
7. *Administrative Responsiveness*—Extent of awareness of problems and willingness to pursue administrative tasks to their culmination.
8. *Communication*—Skill in the development of effective communications and initiative in the establishment of methods to assure an adequate flow of information.

FIELD GRADE OFFICER EFFECTIVENESS REPORT

I. **Source:** United States Air Force

II. **Rating Categories:** Rater is to check most appropriate description under each category.

III. **Characteristics Being Evaluated:**

Job Capability

a. Has gaps in fundamental knowledge and skills of his job.
b. Has a satisfactory knowledge and skill for the routine phases of his job.
c. Has excellent knowledge and is well-skilled on all phases of his job.
d. Has an exceptional understanding and skill on all phases of his job.
e. Has a far-reaching grasp of his entire broad job area authority in his field.

Planning Ability

a. Relies on others to bring problems to his attention. Often fails to see ahead.
b. Plans ahead just enough to get by in his present job.
c. Is careful, effective planner, anticipates and takes action to solve problems.
d. Capable of planning beyond requirements of the present job: sees the big picture.
e. Capable of top-level planning. A high caliber thinker and planner.

Executive Management

a. Is a poor organizer, does not really make effective use of material or manpower.
b. Maintains ordinary efficiency of operation, control could be improved.
c. Gives economy of operation careful attention, makes wise use of manpower and material.
d. Maintains effective economy, carefully weighs cost against expected results.
e. Highly skilled in balancing cost against results to obtain optimum effectiveness.

Leadership

a. Often weak in command situations, at times unable to exert control.
b. Normally develops fairly adequate control and teamwork.
c. Consistently a good leader, commands respect of his subordinates.
d. Exceptional skill in directing others to great effort.
e. Leadership qualities reflect potential for highest level.

Executive Judgment

a. Decisions and recommendations are sometimes unsound or ineffective.
b. His judgment is usually sound and reasonable, with occasional errors.
c. Displays good judgment, resulting from sound evaluation. He is effective.
d. An exceptionally sound logical thinker in situations that occur on his job.
e. Has a knack for arriving at the right decision, even on highly complex matters.

Human Relations

a. Does not get along well with people; definitely hinders his effectiveness.
b. He has difficulty in getting along with his associates.
c. Gets along with people adequately, has average skill at maintaining good human relations.
d. His above average skills in human relations are an asset.
e. Outstanding skills in human relations increase his effectiveness.

Writing Ability and Oral Expression

a. Unable to express thoughts clearly; lacks organization.
b. Expresses thoughts satisfactorily on routine matters.
c. Usually organizes and expresses thoughts clearly and concisely.
d. Consistently able to express ideas clearly.
e. Outstanding ability to communicate ideas to others.

Job Accomplishment

a. Quality or quantity of his work does not always meet job requirements.
b. Careless bearing and behavior detract from his effectiveness.
c. Bearing and behavior create a good impression.
d. Especially good behavior and bearing; creates a very favorable impression.
e. Bearing and behavior are outstanding; he exemplifies top military standards.

EVALUATION FORM

I. **Source:** Evaluation Committee, Clackamas Community College (Annette Sax)

II. **Rating Categories:** Short-answer questions

III. **Characteristics Being Evaluated** (Raters Are to Consider When Filling Out Form):

1. *Adaptability*—Alertness, flexibility, and adaptation to new or changing situations.
2. *Initiative*—Willingness to act independently and effectively with minimum supervision and reflection of a desire to achieve goals.
3. *Stability*—Ability to withstand pressure and to remain calm in crisis situation.
4. *Maturity of Judgment*—Ability to think through problems and make sound, logical decisions in the absence of precedent and established policy.
5. *Leadership*—Ability to motivate others to achieve established goals through effective communication and decisiveness of purpose and direction.
6. *Promptness and Dependability*—Promptness in being on time for meetings, conferences, and appointments.
7. *Management of Resources (Human and Fiscal)*—Ability to plan and effectively manage the fiscal resources of his area of assignment. Has the capability to organize and manage the efforts and energies of associates.
8. *Job Knowledge*—Knowledge of work gained through experience, specialized training, education, and special sources of information that individual requires in order to display optimum job performance.
9. *Imaginative and Innovative*—Talent for presenting new ideas, for finding new and better ways of doing things, and ability to develop fresh and imaginative suggestions.
10. *Oral and Written Expressions*—Ability of expression in a clear, concise, and effective manner both orally and in writing.
11. *Cooperation*—Attitude toward other employees, supervisory and subordinates; consistency in working well with others in order to secure effective results; willingness to lend assistance; genuine interest and understanding of the work group.
12. *Professional and Personal Appearance*—Individual behavior characteristics, personal stability for the job, and personal impression made on others.
13. *Loyalty and Integrity*—Willingness to support policies of the organization both personally and before others, and displays respect for the authority of superiors.
14. *Availability and Support*—Is the person being evaluated available to all members of the staff for meetings, conferences, and appointments when scheduled? Does he support decisions once they are made?

ADMINISTRATIVE FORM

I. **Source:** F. I. Brownley, Jr., with assistance from Jane Harbaugh, University of Tennessee

II. **Rating Categories:** Outstanding, Satisfactory, Unsatisfactory, Not applicable

III. **Characteristics Being Evaluated:**

1. *Planning*—Establishment of objectives and goals; anticipation of future developments; formulation of effective plans to achieve desired results.
2. *Decision Making*—Ability to make sound, logical decisions under stress; exercise of good judgment; ability to see problems objectively.
3. *Provide Leadership in . . .*
   a. Developing professional responsibility for teaching and related duties.
   b. Developing departmental morale.
   c. Developing institutional loyalty.
   d. Professional development through study and research.
   e. The departmental program for advising students.
4. *Administration*—Staffing; organization; handling problems; developing new and better methods, procedures, or ideas; implementation of committee assignments.
5. *Communicative Skills*—Quality of reports and correspondence, listening ability, oral presentation, participation in discussions and meetings, methods used for flow of information.
6. *Initiative*—Drive, self-starting ability, capacity to act promptly, a striving to attain goals, willingness to work beyond ordinary requirements, independent action.
7. *Adaptability*—Reaction to new responsibilities, handling of special projects, attitude, flexibility.
8. *Institutional Commitment*—Dedication to service, willingness to strive for superior quality performance, sense of responsibility, concern for welfare of total university as well as specific responsibilities, promotion of favorable public relations, involvement in appropriate campus activities.
9. *Effectiveness in Dealing with People*—Leadership ability, ability to develop subordinates, cooperation with team, ability to present ideas and get them accepted.
10. *Professional Self-Improvement*—Independent study and research, advanced degree program, related study at seminars or workshops, memberships and positions held in professional organizations, participation in professional studies and research, knowledge of current developments in field.

ADMINISTRATIVE EFFECTIVENESS APPRAISAL

I. **Source:** Richard I. Miller, *Developing Programs for Faculty Evaluation* (San Francisco: Jossey-Bass, 1974), Chapter 5

II. **Rating Categories:** Highest 7, 6, 5; Average 4, 3, 2; Lowest 1 or "don't know"

III. **Characteristics Being Evaluated:**

1. *Ability and willingness to "open doors" for faculty members.*
2. *Attends to details effectively.*
3. *Instills enthusiasm for professional goals.*
4. *Judges people perceptively and fairly.*
5. *Keeps abreast of new developments and innovations in higher education.*
6. *Makes sound decisions.*
7. *Plans effectively and imaginatively.*
8. *Resolves or ameliorates human conflicts.*
9. *Says "no" effectively.*
10. *Understands and uses modern management procedures.*
11. *Willingness to appraise situations and problems impartially.*
12. *Willingness to put others first.*
13. *Works effectively with faculty members.*
14. *Works effectively with other administrators.*

PERFORMANCE APPRAISAL REPORT

I. Source: Richard I. Miller

II. Rating Categories: Fully meets job requirements; Unsatisfactory—does not meet minimum requirements; Meets minimum requirements; Exceeds job requirements; Other (specify)

III. Characteristics Being Evaluated:

1. *Quality of Work*—-Consider standard of workmanship, accuracy, neatness, skill, thoroughness, economy of materials, organization of job.
2. *Volume of Work*—Consider use of time, the volume of work accomplished, and the ability to meet schedules, productivity levels.
3. *Personal Work Habits*—Consider safety, housekeeping and compliance with company practices, proper dress, appearance, personal hygiene, neatness, cleanliness.
4. *Adaptability*—Consider ability to meet changing conditions and situations, ease with which the employee learns new duties and assignments.
5. *Judgment*—Consider ability to evaluate relative merit of ideas or facts and arrive at sound conclusions, ability to decide correct course of action when some choice can be made.
6. *Job Knowledge and Skill*—Consider understanding of job procedures and methods, ability to acquire necessary skills, expertness, and utilization of background for job.
7. *Attitude*—Consider cooperation with superior and co-workers; receptiveness to suggestions and constructive criticisms; attitude toward company; enthusiasm, attempts to improve performance.
8. *Customer Relations*—Consider telephone conversations as well as direct personal contact. Does employee deal tactfully with customers? Does employee satisfy their requests? Does employee meet our service and courtesy requirements?
9. *Team Effort, Leadership*—Consider ability to inspire teamwork, enthusiasm to work towards a common objective, desire to assume responsibility, ability to originate or develop ideas and to get things started, ability to train others.

FACULTY EVALUATION OF ADMINISTRATION

I. Source: Charles H. Farmer and Elaine L. Mann, The University of Tulsa

II. Rating Categories: Highest 7, 6; Average 5, 4; Lowest 3, 2, 1; "Don't know" 0

III. Characteristics Being Evaluated:

Leadership:

1. Makes timely *and* effective decisions.
2. Plans imaginatively for the future.
3. Accepts suggestions on professional matters.
4. Works for creative consensus among subordinates.
5. Maintains efficiency through delegation of responsibility *and* commensurate authority.
6. Works effectively in the community for the support of the University.
7. Always displays concern for basic issues rather than trivia.
8. Inspires enthusiasm for University goals.
9. Processes detailed *and* routine tasks efficiently.
10. Establishes uniform procedures.

Relationship with Faculty:

1. Encourages a high level of academic performance.
2. Encourages individual professional growth.
3. Promotes a high standard of faculty conduct and citizenship.
4. Evidences a recognition of the faculty role in academic governance as established by the University.
5. Promotes a good relationship between faculty and higher authority.
6. Gives recognition to faculty proficiencies and accomplishments.
7. Evidences trust in the faculty to exercise good judgment.
8. Displays flexibility and patience toward delays.
9. Displays ability to mediate and resolve human conflicts.
10. Regularly maintains effective lines of communication.
    - (a) Supports two-way communication with faculty.
    - (b) Displays willingness to explain his actions.
    - (c) Provides advance notice of changes.
    - (d) Defines explicitly what is expected of faculty.
    - (e) Communicates a counter position effectively.

Supervision and Evaluation of Personnel:

1. Evaluates personnel with fairness *and* objectivity.
2. Practices effective management procedures.
3. Maintains clearly defined standards of performance.
4. Evokes a receptive attitude toward evaluation.
5. Creates an atmosphere of integrity.
6. Displays ability to give constructive criticism in a positive manner.
7. Recognizes the merits of differing methods and techniques.
8. Cooperates in effecting solutions to identified problems.
9. Maintains an "open door" policy.
10. Issues suggestions instead of directives where appropriate.

Personal Qualities:

1. Displays an active interest in major issues and innovations in postsecondary education.
2. Possesses broad intellectual and cultural interests.
3. Displays physical and mental vigor necessary for the position.
4. Works effectively with faculty members.
5. Works effectively with other administrators.
6. Evidences impartiality in assessing problems, people, and issues.
7. Displays a sensitivity to the feelings of associates.
8. Works effectively with different types of people.
9. Possesses a personality to which associates can easily adjust.
10. Is keenly aware of the impact of his day-to-day operation of the various publics served.

Document 6-5

Title: Performance Evaluation Forms (General) Sample 1

Source: Marshall University, University of Notre Dame, Bluffton College, and Viterbo College

General Description:

Institutional and individual growth require monitoring and feedback in order to make adjustments and ensure progress toward desired goals. The use of performance evaluation forms is a widely accepted means of monitoring. A cautionary note is in order; that is, before one selects forms to be used or makes evaluations, agreed-upon standards must have been set.

Instructions for Use:

The following evaluation forms provide various examples of formats, procedures, and approaches. These samples should be considered as illustrative, and as such should serve only as guides for developing one's own evaluation forms that meet specific local needs and standards.

Marshall University and University of Notre Dame:

Evaluation forms are illustrative of a concise format. Marshall University provides specifically for the employee to review with sign-off capability for employee and supervisor.

Bluffton College and Viterbo College:

Performance appraisals are illustrative of an opened format. The procedure calls for the employee and the supervisor to complete the form separately and then come together to compare assessments and jointly agree on what will be shared with the division head and placed in the employee's personnel file.

MARSHALL UNIVERSITY

1837

STAFF PERFORMANCE APPRAISAL

Name ______________________________

Position Title ______________________________

Department ______________________________

Date Assigned
Present Position ______________________________

INSTRUCTIONS TO RATER:

To complete the evaluation, read each scale and assign a numerical value which most accurately describes the employee in the performance of his job. In the spaces provided at the end of each scale, give a brief narrative evaluation of employee performance in that particular area.

The rater will discuss the completed evaluation with each employee he rates.

Thank you for your cooperation

THE FOLLOWING NUMERICAL RATING SCALE WILL BE USED THROUGHOUT THE EVALUATION:

Note: If you feel that the employee rates in the first category (8-7) then assign a number of 8 or 7 and insert it in the space provided at the end of each section. If an employee rates in the second category assign a number of 6 or 5, etc.

SCALE 1 KNOWLEDGE OF WORK: Consider how well the employee understands work duties and obligations. Does he understand his role and the relationship of his job to the work of others in the program:

8-7	6-5	4-3	2-1
Consistently displays a sound understanding of his duties and is very flexible in meeting new obligations.	Displays an above average understanding of his duties. Can be flexible in performance.	Displays adequate understanding of duties and functions; needs to improve.	Displays insufficient understanding of duties and functions and their relationship to the work of others.

Comments: ____________________

____

____________________ Rating: ________

SCALE 2 COMPETENCE: How skillfully does the employee perform? Consider neatness, accuracy and effectiveness, regardless of volume. Does his performance conform to the standards and qualifications of the **position**?

8-7	6-5	4-3	2-1
Consistently demonstrates ability to achieve effective results without direct supervision.	Quality of his performance is above average, little supervision required.	Usually performs adequately with minimal guidance and supervision.	Performance is poor; unable to perform satisfactorily without constant supervision.

Comments: ____________________

____

____________________ Rating: ________

SCALE 3 EFFICIENCY: Consider the volume, amount and speed of work output. Does the employee do what is expected of him?

8-7	6-5	4-3	2-1
Consistently exceeds the work output required of him.	Frequently accomplishes more than is required.	Usually completes the work output expected.	Seldom completes the work output expected.

Comments: ____________________

____

____________________ Rating: ________

SCALE 4 JUDGMENT: Consider employee's ability to plan, and make logical decisions. Does he reach sound opinions and decisions?

8-7	6-5	4-3	2-1
Consistently recognizes need for making decisions on his own; demonstrating creativity and initiative.	Recognizes need for making decisions and usually makes decisions on his own.	Usually recognizes need for making fundamental decisions on his own; needs improvement in decision making skills.	Seldom recognizes need for making decisions. Exercises limited judgment.

Comments: ____________________

____

____________________ Rating: ________

SCALE 5 COOPERATION: Consider employee's ability to work with others. Does he work effectively with others?

8-7	6-5	4-3	2-1
Consistently establishes and maintains rapport with others. Works efficiently with all associates.	Easily establishes and maintains rapport with others. Works effectively with others to achieve the goals of the program.	Generally responds to the needs of others and usually works effectively with others.	Has little understanding of the responsibilities of others and has difficulty working with others.

Comments: ______________________________

____

______________________________ Rating: ________

SCALE 6 ABILITY TO SUPERVISE OTHERS: If the employee is not a supervisor, do you feel he has supervisory potential? If the employee is a supervisor, how well does he perform his supervisory responsibilities?

8-7	6-5	4-3	2-1
Displays outstanding supervisory abilities. Frequently establishes good rapport with employees. Capable of assuming supervisory responsibilities with minimal difficulty.	Displays definite supervisory potential. Can be of genuine service in a supervisory capacity.	Displays some supervisory ability, but lacks qualities which would make him a truly effective supervisor.	Displays a general lack of supervisory ability. Lacks the judgment, understanding, and organization necessary in supervising.

Comments: ______________________________

____

______________________________ Rating: ________

SCALE 7 RESPONSIBILITY: Consider the employee's acceptance of responsibility in his assignment of duties. Does he accept responsibility positively, negatively or indifferently?

8-7	6-5	4-3	2-1
Consistently accepts responsibility readily. Has a high level of completing tasks well.	Displays an above average acceptance of responsibility. Addresses duties well.	Generally responds to responsibility. Marked area for improvement.	Seldom accepts responsibility. Completes minimum required of position.

Comments: ______________________________

____

______________________________ Rating: ________

SCALE 8 DEPENDABILITY: The employee's dependability and punctuality are rated in comparison to other program employees. Does he report timely to work, account for a full day's work, and stay on the job until end of day?

8-7	6-5	4-3	2-1
Better than average record. Seldom reports late and completes a full day.	Satisfactory record. Occasionally late in reporting.	Less than satisfactory record. Area for improvement.	Unsatisfactory record of dependability. Requires immediate attention.

Comments: ______________________________

____

______________________________ Rating: ________

MOST SIGNIFICANT ASSET: What is the most important attribute which this employee gives to his job? Consider benefit to the program. In what way does this employee perform which is most outstanding?

Comments: ______________________________

____

____

MOST SIGNIFICANT JOB LIMITATION: What is this employee's most undesirable work attribute or trait? In which area of responsibility within the job does this employee need assistance and development most? Consider needs and benefits to the program.

Comments: ______________________________

____

____

TOTAL POINTS: ________ AVERAGE: ________
(Total Pts. ÷ 8)

SUPERVISOR COMMENTS: ____________________

____

____

EMPLOYEE COMMENTS: Is there anything not covered in the evaluation which you would like to mention?

____

____

____________________ (Supervisor-Rater) ____________________ (Date)

*____________________ (Employee) ____________________ (Date)

* My signature above does not necessarily mean that I agree with the rating. It does, however, signify review of its contents and also the opportunity to discuss any questions I might have with the rating authority.

On the basis of this Evaluation, I recommend: ____________________ Date

______ No increase in salary at this time.

______ An increase in salary at this time.

____________________ Supervisor

____________________ Personnel Director

Approved:

____________________ Dean, Director, Dept. Chairman or Vice President

____________________ Date

____________________ Date

Evaluation sent ____________________

Return by ____________________

Date received in personnel ____________________

P.A.R. prepared and sent ____________________

P.A.R. returned ____________________

301

University of Notre Dame

PERFORMANCE REVIEW RECORD

Employee ______________________________ Reviewer ______________

Classification ______________________________ Period Covered ______________

Department ______________________________ Date ______________

Appraisal Outline

Make an honest appraisal in the light of the following factors as they apply to the employee's performance. Write out your answers and comments or check the degree which most nearly expresses your judgment of the employee in the spaces provided. You may combine statements or cross out those that do not apply as you see fit. For additional characteristics, traits, or skills that you consider pertinent make such notes as necessary in the spaces provided for remarks.

INTERPERSONAL RELATIONSHIPS AFFECTING THE JOB

1. Acceptability—The ability to work well with others; to stimulate enthusiasm and influence others. Consider friendliness, cooperativeness and tact.

Antagonizes others; quarrelsome; is at disadvantage; withdraws from others. ☐	Gives somewhat unfavorable impression; tends to get on people's nerves, reluctant to cooperate. ☐	Normally tactful; only minor frictions; has little difficulty in meeting others. ☐	Always congenial; gives favorable impression; works smoothly with others. ☐	Goes all out to be helpful; morale builder; asset; gets cooperation from all. ☐

2. Dependability—The ability to follow through on delegated responsibilities conscientiously. Consider application to work, and amount of supervision and direction required.

Neglects work; needs constant direction. Fails to meet schedules. ☐	Irregular; needs immediate supervision; work sometimes lags. ☐	Usually conscientious; needs general supervision; reasonably prompt. ☐	Always reliable; prompt and eager; occasional supervision needed; always sees duties to completion. ☐	Exceptional; justifies utmost confidence; minimum of supervision required. ☐

REMARKS ____

____

____

INTELLIGENCE

1. Initiative and Ingenuity—The ability to see the need for and to take independent action. Consider ability in the absence of detailed instructions, creativeness, new solutions to problems, and improvement suggestions.

No originality; sluggish; requires constant urging; no desire to learn new tasks. ☐	Meets minimum requirement of job; needs explicit instructions before proceeding; creative ability limited. ☐	Usually industrious; able to develop some new ideas; adjusts well to new conditions. ☐	Willing; accepts responsibilities; resourceful; frequently gives constructive contributions. ☐	Goes out of way seeking extra work; initiates valuable ideas; develops workable methods to meet new situations. ☐

2. Judgment and Common Sense—The ability to make accurate and reliable decisions. Consider ability in emergencies, the determination of facts, consultation, and consideration of the effect of decisions.

Very little accuracy; unreliable; frequently makes errors; completely dependent on others. ☐	Some vacillation; frequently displays poor judgment; makes snap decisions. ☐	Usually displays good common sense; occasionally slips with faulty decision; best under ordinary circumstances. ☐	Weighs facts carefully; sound and logical; thinks through the situation; considerable accuracy. ☐	High degree of accuracy, and reliability; quick and logical at all times; makes sound decisions based on facts, consultation, and effects. ☐

REMARKS ______________________________

____

____

PERFORMANCE

1. How well is this employee performing present duties? Indicate progress or lack of progress. Whenever possible cite examples of performance that indicate the quality of the work being done ______________________________

____

____

2. What does this employee do especially well? ______________________________

____

____

3. In what areas of performance is improvement necessary? ______________________________

____

____

4. Your rating of this employee's performance in the present position:

Unsatisfactory ☐ Somewhat weak ☐ Average ☐ Above average ☐ Outstanding ☐

POTENTIAL

1. Capacity and Ambition for Future Development—The ability to improve performance and to advance in position within the department and the University. Consider desire and efforts shown for advancement, versatility, ease with which new duties are learned.

Slipping on present job. Extremely doubtful. ☐	Questionable; gives very little indication. ☐	Is performing to greatest capacity now; is on most suitable job. ☐	Very promising; promotable within the department. ☐	Great future growth; promotable within the University. ☐

2. If promotable, to what? ______________________________

Why? ______________________________

Date you interviewed this employee and reviewed performance. ______________________________

Did you discuss needs for improvement? ______________________________

Did employee enter into the discussion of performance? ______________________________

Explain: ______________________________

____

What specific plans were made for the improvement of performance? ______________________________

____

Were you satisfied with the review? __________ Why? ______________________________

____

____
Supervisor

____
Department Head

303

Performance Appraisal

Bluffton College

Name of Staff Member______________________________Date of Interview_______________

Supervisor____

We believe that each staff member is interested in giving excellent service and in progressing in self-improvement. For these reasons, special periodic (annual) consultations are arranged between the supervisor and each of his staff members for the purpose of performance appraisal.

Procedure for Supervisors:

1. The staff member should be given the performance appraisal form several days in advance of the interview with an explanation of the purpose, procedure, and time when you will meet to discuss the performance.

2. Each appraisal will require using this form three times: (1) a working draft for the staff member; (2) a working draft for the supervisor; (3) recording of joint and agreed upon impressions to be shared with the divisional officer and filed in the employee's personnel folder.

(1) *DEPENDABILITY*—degree to which individual can be counted upon to follow instructions or established procedures without supervisory follow-up.

(2) *WORK ORGANIZATION*—the individual's ability to manage his time and work efficiently, the ability to delegate tasks and utilize staff for maximum effectiveness.

(3) *GOAL SETTING AND FULFILLMENT OF GOALS*—the individual's success in establishing working goals and following them.

(4) *CREATIVITY*—resourcefulness, imaginativeness in finding better answers to problems.

(5) *QUANTITY OF WORK*—work accomplished or produced.

(6) *STAFF RELATIONSHIPS AND MORALE*—the staff member's ability to get along with other staff.

(7) *EXPRESSION*—the employee's effectiveness in communication of ideas, working plans, and work implementation orally and in writing.

(8) *PERSONAL AND VOCATIONAL PLANS*—the individual's aptitudes, his long-range personal and vocational interests in order to assure that the individual's employment is consistent with his potential.

(9) *COMMITMENT TO INSTITUTIONAL PURPOSE*—active, supportive interest in the mission and goals of the college.

(10) *JOB DESCRIPTION*—This is a review of the job description-understanding in order to assure common expectation.

We agree that this appraisal reflects our assessment of performance:

Employee	Supervisor
Date	Date

Viterbo College

Annual Evaluation of Administrative Effectiveness and Professional Service of Administrators and Administrative Staff

(Based upon a joint evaluation by the individual and the person's immediate supervisor.)

Name of individual evaluated ____________________ Supervisor ____________________

Department ____________________ Date of Evaluation ____________________

I. Ability to meet the demands of the job description as established by the college.

A. General overall evaluation of performance as per job description.

B. Areas of the job description which were well met.

C. Areas of the job description which were adequately met.

D. Areas of the job description which need improvement.

E. Ability to administer the office.

II. Interpersonal relationships.

A. College administration

B. Staff members within the department

C. College faculty

D. Students

E. Others with whom he relates

III. Effectiveness in committee work: a) attendance at senate, department and committee meetings; b) willingness to assist in solving problems; c) active participation in discussions.

IV. General overall concern for the welfare of the college: image of college, planning for the future, promotion of the goals of the college.

V. Additional contributions, community service: serving as representative of college at various functions, availability to college community.

VI. Growth in present position.

VII. Progress made on goals set for current year or at last review.

VIII. Goals for the next year or three year period.

Mutually agreed upon by:

Supervisor	Date
Person being evaluated	Date

Four copies: one for the president, one for immediate supervisor, one for top administrative officers of the division, and one for the person being evaluated.

Document 6-6

Title: The DECA System: Faculty Ratings of Department Chairperson/Head

Source: Center for Faculty Evaluation and Development (1627 Anderson Ave., Box 3000, Manhattan, Kansas 66502; Toll-free phone number: 800/255-2757)

General Description:

The Departmental Evaluation of Chairperson Activities system (DECA) is a strategy for assessing the administrative effectiveness of the chairperson of an academic department or division. The DECA system has three unique and distinguishing characteristics. First, the DECA system defines administrative effectiveness as assessment by department members of the chairperson's effectiveness in accomplishing those administrative activities that he has specified as important for the department. Second, the DECA system identifies those administrative activities on which the chairperson and members of the department agree or disagree as to their importance to the success of the department. Third, the DECA system identifies those characteristics reflecting administrative techniques and style that are related to faculty perceptions of accomplishment on the specified administrative activities, and that can be characterized as strengths and weaknesses.

The DECA system is available from the Center for Faculty Evaluation and Development in Higher Education to departments and divisions in colleges and universities on an institution-by-institution, fee-for-service basis. Although information from the DECA system is used in a variety of ways, the system emphasizes administrative improvement in its design and philosophy. The department chairpersons at Kansas State University and other institutions where the system has been developed and tested over the past three years have found their DECA Reports to be of particular value in considering their administrative effectiveness, as the basis for discussions with departmental colleagues concerning the direction and focus of departmental activities, and in considering changes in administrative style to enhance their effectiveness.

Instructions for Use:

The DECA system was originally designed to support the improvement of administrative effectiveness at the departmental level in colleges and universities. It is perhaps most effectively used by department chairpersons on a voluntary basis for development, supported by the availability of local consultation and resources from an on-campus office for staff development. Though the DECA system has the capability of being used for the evaluation of administrative effectiveness for promotion, tenure, and merit-pay decisions, the Center cautions against using the DECA Report as a sole measure of administrative effectiveness. When used for evaluation, the results of the DECA system should be considered with other information about the department. This, in turn, should be incorporated with information about the performance of other responsibilities of the department chairperson in addition to administration.

Two forms are used in conjunction with the DECA system. One is completed by the department chairperson, the other by the faculty members in the department in which the assessment is being conducted. The Chairperson Information Form must be completed by a chairperson using the DECA system. On this form, the chairperson is asked to review a list of fifteen activities that some department chairpersons pursue and to identify how important each activity is in their role as chairperson. A five-point scale is employed from 1 ("Not Important") to 5 ("Essential"). Through this process of review, the DECA system accommodates individual differences among both chairpersons and departments.

The DECA Survey Form is completed by individual faculty members in the department. The faculty members are asked first to describe their judgment of how *important* each of the fifteen administrative activities should be for their chairperson. Next, the DECA system asks each faculty member to describe how *effectively* they feel their department chairperson has performed each administrative activity during the past twelve months. No notation appears on the Survey Form that indicates to the faculty members the relative importance assigned to each administrative activity by the chairperson. The faculty members are also asked to indicate how frequently the chairperson engages in thirty specific behaviors indicative of administrative style. The data gathered by these two forms are combined and presented to the chairperson in the DECA Report.

After the administration of the DECA system is completed, the appropriate Chairperson Information Form is matched with the completed DECA Survey Forms. These departmental packets are then sent to the Center for processing, which takes approximately twenty working days. A separate, three-page DECA Report is prepared by the Center for each department in which the DECA system is administered. The completed DECA Reports, accompanied by the DECA Interpretive Guide, are returned to the campus for distribution to participating chairpersons.

The DECA Report consists of a three-page, three-part computer prepared summary of the faculty members' appraisal of the administrative effectiveness of the department chairperson. The DECA Report is detailed because chairpersons have found it helpful to analyze the data in a variety of ways. On page 1 of the DECA Report, the faculty members' performance ratings of the department chairperson's administrative activities are reported. In addition to reporting the number of responses and the means for each item, literal comparisons are also provided. In the Evaluation Summary on page 1, scores are reported for performance on the administrative activities, weighted by the faculty members' importance rating and the chairperson's importance ratings. The Evaluation Summary also reports the degree of agreement on the importance of the administrative activities among the faculty and between the faculty and the chairperson.

On page 2 of the DECA Report, the frequency that the department chairperson engaged in each of the thirty behaviors reflecting administrative style is reported in terms of percent responding and a mean score. In addition, a difference score is computed, and a literal translation is provided, indicating whether a style is "Favorable" or "Unfavorable" in relation to specific administrative activities. Page 3 of the DECA Reports contains the Diagnostic Summary, which is based upon the correlational relationships that exist between the administrative activities and the behaviors representative of administrative techniques.

The Diagnostic Summary lists the fifteen administrative activities, reports the faculty members' performance rating on each objective, and then identifies those specific behaviors representative of administrative techniques that can now be identified as strengths and weaknesses relevant to each activity. The Diagnostic Summary enables the chairperson to identify weaknesses as a starting point for changing administrative techniques, which can, in turn, contribute to improved faculty members' perceptions of performance of relevant administrative activity.

On request, the Center will provide the DECA Survey Form to be completed by the faculty members, the Chairperson Information Form, plus related administrative forms and materials; computer-based scoring service and a presentation of the results to the individual chairperson in the DECA Report; and the DECA Interpretive Guide.

Evaluation of Department Chairperson/Head

PLEASE PRINT: ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐ ☐☐
10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26
LAST NAME INITIALS

☐☐☐☐☐☐☐☐☐☐☐☐
27 28 29 30 31 32 33 34 35 36 37 38
DEPARTMENT

The list below describes activities which some department chairpersons/heads pursue. Write in the *Code Number* which describes your judgment of *how important* each of these is in your role as chairperson/head.

1 = Not important 2 = Of minor importance 3 = Fairly important
4 = Quite important 5 = Essential

RATING ACTIVITY

_____ . .39. Guides the development of sound procedures for assessing faculty performance.
_____ . .40. Recognizes and rewards faculty in accordance with their contributions to the department's program.
_____ . .41. Guides development of sound organizational plan to accomplish departmental program.
_____ . .42. Arranges effective and equitable allocation of faculty responsibilities such as committee assignments, teaching loads, etc.
_____ . .43. Takes lead in recruitment of promising faculty.
_____ . .44. Fosters good teaching in the department.
_____ . .45. Stimulates research and scholarly activity in the department.
_____ . .46. Guides curriculum development.
_____ . .47. Maintains faculty morale by reducing, resolving, or preventing conflicts.
_____ . .48. Fosters development of each faculty member's special talents or interests.
_____ . .49. Understands and communicates expectations of the University administration to the faculty.
_____ . .50. Effectively communicates the department's needs (personnel, space, monetary) to the dean.
_____ . .51. Facilitates obtaining grants and contracts from extramural sources.
_____ . .52. Improves the department's image and reputation in the total University community.
_____ . .53. Encourages an appropriate balance among specializations within the department.

54. Approximately what percentage of the faculty in this department is tenured?
_____(1) Over 80% _____(2) 60-79% _____(3) 40-59% _____(4) Under 40%
55. Are members of the department housed:
_____(1) in a single building _____(2) in more than one building
56. How many formal department faculty meetings were called in the past 12 months?
_____(1) None _____(2) 1 or 2 _____(3) 3-5 _____(4) 6-9 _____(5) 10 or more
57. How many years have you served as head/chairperson of this department?
_____(1) This is my first year. _____(2) 1-2 years _____(3) 3-5 years
_____(4) 6 or more yrs.
58. What are the terms of your appointment as head/chairperson?
_____(1) I was appointed by the dean and serve at his/her pleasure
_____(2) I was elected by the faculty for a specific term
_____(3) I was elected by the faculty but not for a specific term

RETURN THIS FORM AND THE "APPROVAL FORM" TO:

Approval Form

I request that faculty members in this Department complete the Department Head rating form prepared by the Office of Educational Resources to help me evaluate and improve my administrative effectiveness. I understand that faculty ratings will be made anonymously and that summary results for the entire group will be sent only to me.

______________________________ Date

______________________________ Signed

______________________________ Department

Names of faculty members who should be asked to provide ratings: (Include address also if other than the department office).

1. ______________________________
2. ______________________________
3. ______________________________
4. ______________________________
5. ______________________________
6. ______________________________
7. ______________________________
8. ______________________________
9. ______________________________
10. ______________________________
11. ______________________________
12. ______________________________
13. ______________________________
14. ______________________________
15. ______________________________
16. ______________________________
17. ______________________________
18. ______________________________
19. ______________________________
20. ______________________________
21. ______________________________
22. ______________________________
23. ______________________________
24. ______________________________
25. ______________________________
26. ______________________________
27. ______________________________
28. ______________________________
29. ______________________________
30. ______________________________

—Survey Form—

______________________ Institution ______________ Department

FACULTY RATINGS OF DEPARTMENT CHAIRPERSON/HEAD

Office of Educational Resources, Kansas State University

INSTRUCTIONS

The list below describes 15 activities which some department chairpersons/heads pursue. In *Column 1*, write in the number corresponding to your judgment of how *important* each of these should be for your chairperson/head, using the following code:

1 = Not Important
2 = Only So-So
3 = Fairly Important
4 = Quite Important
5 = Essential

Use *Column 2* to describe how *effectively* you feel your department chairperson/head performed each function during the *past 12 months*. Leave the item blank if you feel you cannot make a valid judgment; otherwise write in the number best corresponding to your estimate:

1 = Poor
2 = Only So-So
3 = In Between
4 = Good
5 = Outstanding

ACTIVITY	*IMPORTANCE* COLUMN 1	*PERFORMANCE* COLUMN 2
Guides the development of sound procedures for assessing faculty performance	1. ____	16. ____
Recognizes and rewards faculty in accordance with their contributions to department's program	2. ____	17. ____
Guides development of sound organizational plan to accomplish departmental program	3. ____	18. ____
Arranges effective and equitable allocation of faculty responsibilities such as committee assignments, teaching loads, etc.	4. ____	19. ____
Takes lead in recruitment of promising faculty	5. ____	20. ____
Fosters good teaching in the department	6. ____	21. ____
Stimulates research and scholarly activity in the department	7. ____	22. ____
Guides curriculum development	8. ____	23. ____
Maintains faculty morale by reducing, resolving, or preventing conflicts	9. ____	24. ____
Fosters development of each faculty member's special talents or interests	10. ____	25. ____
Understands and communicates expectations of the campus administration to the faculty	11. ____	26. ____
Effectively communicates the department's needs (personnel, space, monetary) to the dean	12. ____	27. ____
Facilitates obtaining grants and contracts from extramural sources	13. ____	28. ____
Improves the department's image and reputation in the total campus community	14. ____	29. ____
Encourages an appropriate balance among academic specializations within the department	15. ____	30. ____

Indicate how frequently each of the following 30 statements is descriptive of your department chairperson/head by circling the number corresponding to your judgment:

1 = Hardly Ever (not at all descriptive)
2 = Less than Half the Time
3 = About Half the Time
4 = More than Half the Time
5 = Almost Always (very descriptive)

The department chairperson/head:

31. Makes own attitudes clear to the faculty	1 2 3 4 5
32. Tries out new ideas with the faculty	1 2 3 4 5
33. Works without a plan	1 2 3 4 5
34. Maintains definite standards of performance	1 2 3 4 5

35. Makes sure his/her part in the department is understood by all members 1 2 3 4 5

36. Lets faculty members know what's expected of them 1 2 3 4 5

37. Sees to it that faculty members are working up to capacity 1 2 3 4 5

38. Sees to it that the work of faculty members is coordinated 1 2 3 4 5

39. Does little things that make it pleasant to be a member of the faculty 1 2 3 4 5

40. Is easy to understand 1 2 3 4 5

41. Keeps to him/herself 1 2 3 4 5

42. Looks out for the personal welfare of individual faculty members 1 2 3 4 5

43. Refuses to explain actions 1 2 3 4 5

44. Acts without consulting the faculty 1 2 3 4 5

45. Is slow to accept new ideas 1 2 3 4 5

46. Treats all faculty members as his/her equal 1 2 3 4 5

47. Is willing to make changes 1 2 3 4 5

48. Makes faculty members feel at ease when talking to them 1 2 3 4 5

49. Puts faculty suggestions into action 1 2 3 4 5

50. Gets faculty approval on important matters before going ahead 1 2 3 4 5

51. Postpones decisions unnecessarily 1 2 3 4 5

52. Is more a reactor than an initiator 1 2 3 4 5

53. Makes it clear that faculty suggestions for improving the department are welcome 1 2 3 4 5

54. Is responsive to one "clique" in the faculty but largely ignores those who are not a member of the clique 1 2 3 4 5

55. In expectations of faculty members, makes allowance for their personal or situational problems 1 2 3 4 5

56. Lets faculty members know when they've done a good job. 1 2 3 4 5

57. Explains the basis for his/her decisions 1 2 3 4 5

58. Gains input from faculty on important matters 1 2 3 4 5

59. Acts as though visible department accomplishments were vital to him/her 1 2 3 4 5

60. Acts as though high faculty morale was vital to him/her 1 2 3 4 5

Questions 61-70 ask about yourself or the department in general. Use this answer code:

1 = Definitely False
2 = More False than True
3 = In Between
4 = More True than False
5 = Definitely True

61. I enjoy my work in this department 1 2 3 4 5

62. I have a positive relationship with the department chairperson/head 1 2 3 4 5

63. I agree with the priorities and emphases which have guided recent development in the department 1 2 3 4 5

64. The department has been getting stronger in recent years (use responses 1 and 2 if it has been getting weaker; use response 3 if there has been little change) 1 2 3 4 5

During the past 12 months, the department chairperson/head's effectiveness has been seriously impaired by:

65. Enrollment/retrenchment problems in the department 1 2 3 4 5

66. Inadequate facilities for the department 1 2 3 4 5

67. Bureaucratic requirements and regulations 1 2 3 4 5

68. Inadequate financial resources to support departmental programs 1 2 3 4 5

69. A relatively low priority given to the department by the head's immediate superior 1 2 3 4 5

70. Obstructionism/negativism from one or more senior members of the faculty 1 2 3 4 5

Your responses to the following questions will be typed on a separate sheet of paper before being passed on to the department chairperson/head.

Which matters need priority attention in the department during the next year or two? ____________________

____

____

Identify any departmental policies or procedures which you feel need immediate improvement. ______________

____

____

What is the most important observation you can make about the department chairperson/head's:

a) administration effectiveness? ____________________

____

b) administrative style? ____________________

____

Other comments: ____________________

____

____

If your chairperson/head has prepared additional questions on a separate sheet, please answer these also and return with this form.

Chapter 7

Developing

A round man cannot be expected to fit
in a square hole right away. He must
have time to modify his shape.

Mark Twain

Some management theorists and consultants believe that planning and organizing are the most central functions of administration. Others argue that recruitment and retention are more important, or that delegation and supervision are at the heart of the enterprise. A case can also be made for the vital role of personal, professional, and organizational development in a comprehensive personnel program. Yet such programs for administrators are rarely found on the American campus, and although an administrator may attend professional development seminars and conferences, these experiences are seldom part of a systematic program related to his own needs and those of his institution or administrative unit.

"Unless administrators are exposed to the misuse of power in a dramatic and personally alarming manner, it is a subject that is infrequently discussed and seldom understood."

To be fully effective, an administrator development program must be carefully planned and coordinated and proceed through three phases. (See Figure 7-1.) Phase 1 consists of the administrator's self-assessment: statement of his personal and professional goals; identification of his professional strengths and weaknesses; and clarification of his values, attitudes, and concerns as they relate to his assignments, his co-workers, the goals of his institution, and higher education in general. Phase 2 examines the administrator's expectations on his job, evaluates his competencies on the job, and analyzes his job-related motivations. Then the developmental program must move from the collection of data and assessments (Phases 1 and 2) to the action stage (Phase 3)—the achievement of personal, professional, and organizational change. Through consultation and training, through the dissemination and use of knowledge and the exchange of human resources, the developmental program can produce changes that can be evaluated with reference to the administrator's previously defined personal and professional goals.

ELEMENTS OF ADMINISTRATOR DEVELOPMENT

The following sections describe three programs for development—professional, personal, and organizational—each of which consists of five components (Figure 7-2).

Professional Development

To be effective as a leader or manager in higher education, an administrator must be provided adequate resources for continuing development and renewal. These resources are primarily those of the action phase of the developmental sequence (elements 7 to 10 in Figure 7-1)—consultation, training, resource exchange, dissemination and use of knowledge. Professional development occurs, in part, through five components: an effective evaluation system (described in Chapter 6), diagnosis of key administrative processes, a program for continuous job development, a personnel-oriented management development program, and a resource-oriented management development program.

Diagnosis

Practitioners in the field of faculty development consider the diagnosis of instruction to be highly effective.[1] The instructional diagnostic procedure has been most extensively used by the Clinic to Improve University Teaching at the University of Massachusetts.[2] While the Clinic's diagnostic procedures have been modified for use in training student counselors, they have not, to our knowledge, been used with college administrators although it would be easy to apply them to an administrative setting. An administrative diagnostician would sit down with the administrator to help him identify areas in which he might want assistance. For example, if the administrator has been told that he is stifling the creativity of his staff, he might ask for objective information to indicate if this is true and, if so, how he is doing it. Or he might simply want advice on how to run staff meet-

FIGURE 7-1

A Developmental Sequence for College Administrators

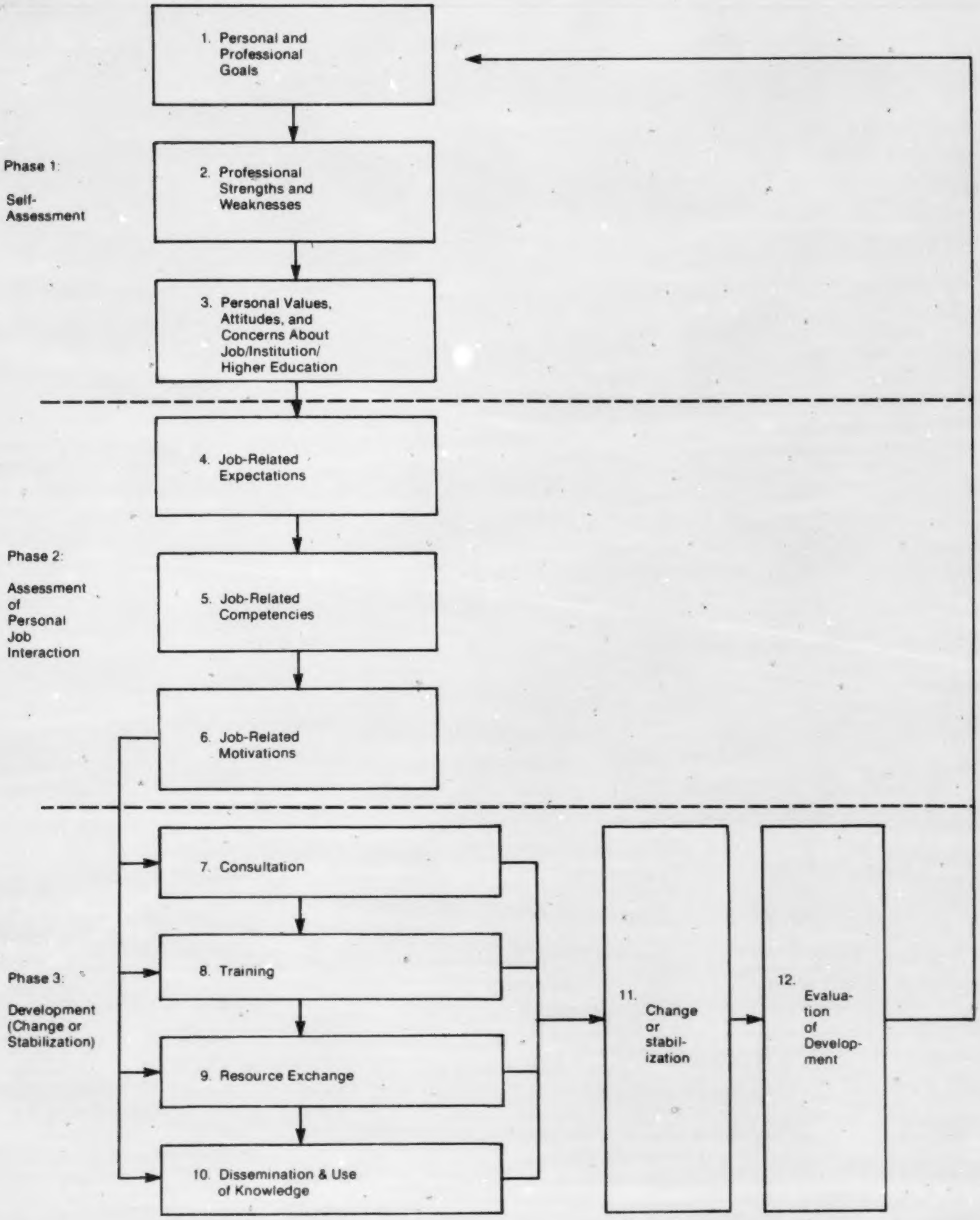
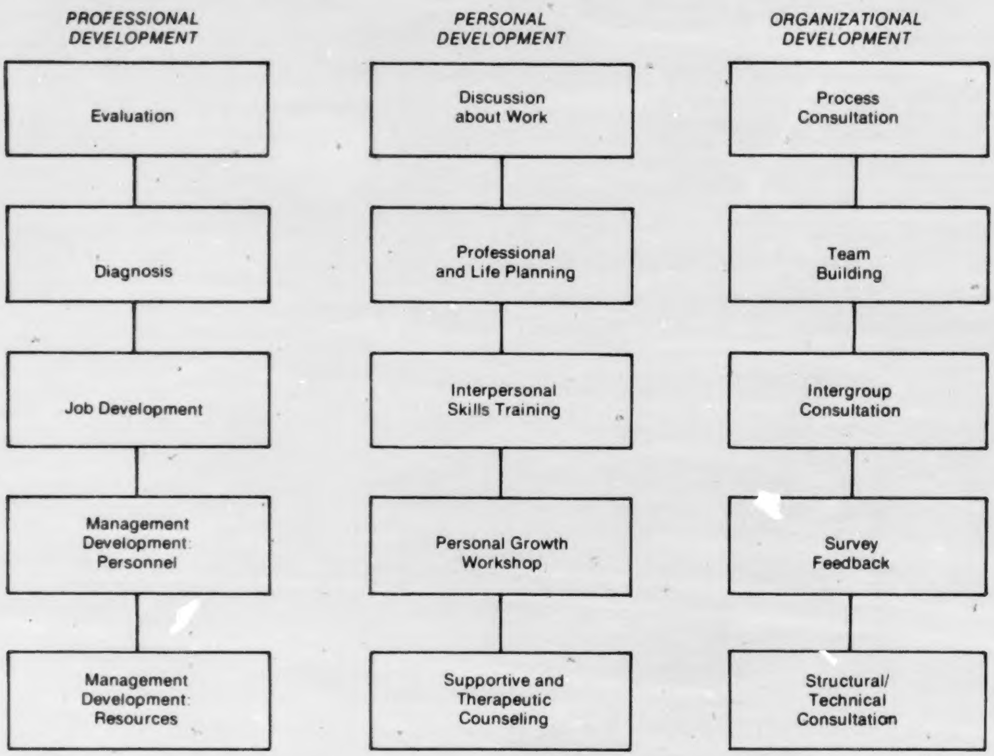

1. Personal and Professional Goals
Phase 1: Self-Assessment
2. Professional Strengths and Weaknesses
3. Personal Values, Attitudes, and Concerns About Job/Institution/Higher Education
4. Job-Related Expectations
Phase 2: Assessment of Personal Job Interaction
5. Job-Related Competencies
6. Job-Related Motivations
7. Consultation
8. Training
Phase 3: Development (Change or Stabilization)
9. Resource Exchange
10. Dissemination & Use of Knowledge
11. Change or stabilization
12. Evaluation of Development

FIGURE 7-2

Components of Effective Administrator Development


PROFESSIONAL DEVELOPMENT
Evaluation
Diagnosis
Job Development
Management Development: Personnel
Management Development: Resources
PERSONAL DEVELOPMENT
Discussion about Work
Professional and Life Planning
Interpersonal Skills Training
Personal Growth Workshop
Supportive and Therapeutic Counseling
ORGANIZATIONAL DEVELOPMENT
Process Consultation
Team Building
Intergroup Consultation
Survey Feedback
Structural/ Technical Consultation

ings more effectively. The essential point in the first meeting between diagnostician and administrator is that the administrator's position is that of a client: he determines the areas in which he wants the diagnostician to observe, react, analyze, and recommend. In contrast to an evaluator, a diagnostician is essentially nonjudgmental although he analyzes a particular action with reference to its impact on goals or objectives that the administrator-client has specified. This opening session usually concludes with an informal contract between the diagnostician and client indicating how data will be collected by the diagnostician and used by the client.

In collecting data, the diagnostician would probably use some or all of three procedures: psychometric instruments (questionnaires, rating scales, checklists), observations (in-person, audiotaped or videotaped, or simulated), and interviews.

The diagnostician might develop a new *psychometric instrument* or use existing ones to assess performance in the areas the administrator has specified. For example, if the administrator is concerned that he is stifling creativity, the diagnostician might develop an open-ended questionnaire that asks subordinates and colleagues to describe in some detail an incident in which the administrator blocked creativity among those people with whom he works. The questionnaire might be developed into several subsections dealing with different aspects or definitions of creativity (problem-solving, hypothesis-generation, idea-generation, aesthetics, and so forth). After analyzing the results from this questionnaire, the diagnostician would identify a set of specific behaviors that seem to stifle creativity. A new questionnaire would then be drafted listing each of these behaviors. The respondents to this second questionnaire would be asked to indicate the extent to which they have observed these behaviors by the administrator and whether it has stifled their own creativity or the creativity of someone with whom they work.

While psychometric devices can generate useful information with a minimal expenditure of time and money, they rarely provide a sufficiently detailed analysis of administrative behavior. *Observation* of the administrator's actual performance is also necessary for a detailed description. Three techniques of observation seem most appropriate to higher education. First, the diagnostician can observe the administrator as he performs the function with which he wants help. To prevent the diagnostician's observation from affecting and possibly distorting the administrator's performance—as it probably would during a two-person conversation—audiotaping or videotaping could be used as a second technique (with the permission of all the people involved, of course). Combining the two approaches can produce a wealth of useful information on a specific type of behavior or event.

An even less obtrusive observation is provided by a simulation. Diagnosticians working with faculty often use a simulated classroom or teaching laboratory. An administrator might interact with role players or helpful colleagues in a simulated office or conference room. The administrator who is concerned about stifling creativity might use the initial questionnaire data to set up a simulated committee. The session could be videotaped and observed by the diagnostician. The administrator's subordinates or colleagues who are familiar with the operations of his unit could serve as members of the committee. The problem could be formulated by the client or diagnostician using the questionnaire results, or it could be identified by a member of the committee. Feedback is provided by the videotape, diagnostician, and members of the simulated committee, in accordance with the contract established between the client and diagnostician.

> *"Intergroup consultation encompasses a number of different techniques and conceptual models directed either at easing tension, conflict, or competition between two or more groups, or at helping them form new relationships."*

The third procedure, *interviews*, is particularly appropriate for small administrative units where each member can be interviewed. In this procedure, staff members answer questions relating directly to the client's problem or concern. The diagnostician then analyzes and synthesizes the answers and gives the results to the client. Specific comments are presented anonymously, and general themes rather than interpersonal problems are emphasized.

At this point, both client and diagnostician study the data collected from psychometric instruments, observation, and interviews. Then they discuss the data and if appropriate formulate a program for improvement. For many administrators the data collection process will suffice. After they have taken the time to absorb new and often disturbing information, they will be ready to prepare their own informal growth plans. But other administrators may ask the diagnostician to help them obtain training or consultation or to recommend books, articles, and other resources that can help them improve their performance.

A thorough diagnosis of administrative behavior could undoubtedly be one of the most effective procedures for administrator development—just as it is now an effective procedure for faculty development. In terms of the developmental sequence (Figure 7-1), the diagnostic process can help the administrator assess his strengths and weaknesses (Phase 1) and relate them to his job (Phase 2). The other components of professional development (described below) lead the administrator into the action phase of development (Phase 3).

Job Development

Several approaches can help an administrator improve his effectiveness at a specific job by improving his skills at it, increasing his knowledge about it and related issues, or changing his attitudes. We discuss five such approaches: internships, orientation programs, in-service educational programs, professional leaves, and job enrichment programs.

An administrator will probably be more effective in his new job if he has already had some kind of *preservice* (internship or apprentice) experience in a "sheltered" setting. One of the most successful and extensive programs of administrator development, the Fellows Program in Academic Administration of the American Council on Education, provides such an experience.

When an administrator is beginning a new job, he should have the opportunity to participate in an *orientation program* that acquaints him with his responsibilities and the procedures and policies of his administrative unit and the institution. A good orientation program gives the newcomer an understanding of the norms and environment of the institution. If an extended job description and standards of performance have been developed, they will contain some of this information. (See Chapter 4.) If possible, the orientation period should last several weeks so that the administrator won't be overwhelmed with information and impressions.

When a new person enters an administrative unit, his orientation should include some ceremony, either formal or informal. It might be a staff luncheon or a party or at least the opportunity to get acquainted with his co-workers. The orientation program should be designed so that this ceremony is identified and acknowledged. The ceremony is meant to be a pleasant method of telling the new administrator that he is now officially "in," that his new co-workers realize that this period of transition may be difficult for him, and that he can count on their support as he learns his way around.

> *"Changes in interpersonal and organizational processes or personal attitudes must be accompanied by appropriate structural modifications if changes are to be meaningful."*

In-service education is an approach to job development more popular in business than in the university. In most business firms the in-service component is large, and extensive in-house training and education programs are common. A major industrial firm in New York State estimates that an administrator who stays with the company throughout his life will receive the equivalent of two master's-level programs in business administration. In contrast, very few colleges or universities offer any in-house educational programs at all—even though they have many resource people on campus to create one. And most colleges and universities are willing to send administrators to only a few external education programs. These conferences, usually national in scope, serve primarily as vehicles for the dissemination of knowledge and do little to help the individual administrator increase skills or change attitudes. (A list of professional development opportunities for college and university administrators can be obtained from The American Council on Education.[3])

"To be fully effective, an administrator development program must be carefully planned and coordinated and proceed through three phases."

At times an in-service training program is not enough for the administrator who needs preparation for a new job or a respite from, or sense of renewal in, his present job. A *leave or sabbatical program* can be designed to meet these needs. The leave program might allow an administrator to study in a new job-related field (computer programming, for example) or to work in a different type of educational setting, such as a planning commission. These activities can give him new knowledge and a change in perspective. Alternatively, he might wish to take leave to attend postdoctoral programs or extended training if he is planning to return to the classroom or to leave education altogether. Regardless of the purpose of the leave, it should contain several elements: a professional growth contract to define the mutual obligations of the administrator and the institution (see p. 00 below); a transition period (before and after the leave) to give him a chance to prepare for the change he is about to make, and a program through which he can share his new expertise or learning with other staff members. (See *Document 7-1.*)

Another approach to job development is *job enrichment*. Although this procedure is (or should be) part of the function of delegation and supervision, it is also an effective vehicle for long-term professional development. However, it is not as successful for immediate improvement of task performance. Herbert Wissman defines job enrichment as a process for:

> . . . designing new jobs or changing existing jobs to enable employees to take part in the planning and the control functions that were previously restricted to supervisors and staff employees. Its objective is to provide for the employee's psychological growth and development rather than just for his economic growth and development.[4]

Although job enrichment is too complex a process to discuss fully here,* several of its more important elements are highlighted below. First, a job enrichment program focuses on the work rather than the worker. How can the work be made more meaningful or interesting? A manager can provide a worker with motivation not only by giving him more money or increasing his benefits, but also by redesigning the work he does so that it will be more rewarding. A job enrichment program, therefore, usually begins with a job analysis to determine the inherent rewards and motivations of a job.

Second, the job can be expanded either horizontally or vertically. Horizontal expansion involves the reorganization or reclassification of two or more jobs to make both more meaningful. Vertical enlargement of a job occurs when an employee's responsibilities are increased. An extended job analysis is necessary to enable a supervisor to define those areas he must continue to control and those that can be delegated to a subordinate. Because job enlargement of subordinates can seem threatening to a supervisor, M. Scott Myers recommends job enrichment workshops to help administrators consider this problem in the supportive environment of their peers.

Finally, job enrichment usually involves a management development component, for an employee's job is enriched and enlarged primarily through the efforts of his supervisor. A supervisor who decides on vertical enlargement of a subordinate's job himself needs increased skills in delegation and supervision; and horizontal enlargement requires skills in organizational planning and coordination. Job analysis usually is based on an understanding not only of the specific requirements of a job but also of its organizational context. All of these skills are primary ingredients of the management development components described below.

Management Development: Personnel and Resources

The literature available on these two components of professional development is extensive, but three general comments might be made about personnel management development. First, it should not be restricted to top-level management or to a specific administrative unit. Every administrator—even those who have no subordinates—has to work with at least one other person (if only his supervisor) in a task-oriented situation. For example, the Main Event Management® program is offered to *all* members of an organization, and institutional costs are reduced by training members of the staff to offer the program to other staff members.

The same can be said for resource management training—it should not be offered only to members of the business office, nor should workshops on grantsmanship be open just to members of the development staff. Training in the formulation and use of planning, budgeting, programming, and allocation tools can benefit a much wider group. It is always surprising to discover how little most mid-level academic administrators know about budgeting and planning systems (such as those of NACUBO and CASC), even though these systems may have a profound effect on their professional lives.

Third and perhaps most importantly, both personnel and resource management should be fully in-

---

*For a full description of the enrichment process, see *Every Employee A Manager* by M. Scott Myers (New York: McGraw-Hill, 1970).

tegrated with the administrative procedures and systems of the institution.[5] It is foolish to train an administrator to use a new institutional planning or recruitment-selection process if the college or university is unwilling to use the new procedure. This may seem obvious but it is often overlooked. An administrator who develops skills, knowledge, and attitudes that are at odds with the structures and procedures of the institution is in a potentially destructive situation, both for himself and for his institution.

Personal Development

If an administrator has benefited from an effective professional development program, he may begin to experience the stress that is associated with changes in his career, his goals, his personal values and personal needs. For this person an administrator development program should contain components for personal as well as professional development.

Personal development programs may also be needed when an administrator actively resists a professional development program even though it is responsive to his professional needs and has been introduced in a sensitive manner. In such a case he may be preoccupied by personal problems. He might, for example, be worried about loss of status as he gets older, or he may be confused about the effect on his personal life of a major career transition. He may be experiencing doubts about his commitment to the mission of the institution or suffering from a personal failure of some sort or even a serious emotional problem. For such an individual an administrator development program is relevant only if it is responsive to these immediate and personal problems and done in such a way that it doesn't endanger his self-esteem or the esteem of his colleagues and family.

A personal development program for college administrators should include at least five components: discussions about work, professional and life planning, interpersonal skills training, personal growth workshops, and supportive and therapeutic counseling when necessary.

Discussions About Work

Administrators, like faculty, are rarely given an opportunity to talk about their work in a supportive environment. College and university administrators take time from their busy schedules to discuss immediate and pressing problems or issues, but they seldom talk about the work itself. Although it might seem that discussions about work would be a professional development activity, for many administrators it is highly personal. After all, they are expressing hopes, fears, values, assumptions, and aspirations about an activity that occupies half their waking life.

Two procedures used to facilitate an open and meaningful discussion of work are the *in-depth interview* and the *small group discussion*. Members of the staff at the Wright Institute in Berkeley, California, use in-depth interviews extensively in their work with faculty and administrators. They find that the interviews not only reveal a great deal about the academic culture but also provide an opportunity for the interviewee to focus on his own professional life and take steps to improve it.[6]

Insightful discussions about work can also occur in a small group setting. Members of an administrative unit may meet in a retreat, or even set aside one or two hours during a working day to withdraw from immediate problems and address deeper and more personal concerns about work. At times, conversations may be even more penetrating if they involve administrators from different units or even from different institutions.

As part of professional development programs at the University of Puget Sound, Tacoma, Washington (Steven Phillips, Coordinator), and the California State University at Chico (Charles Adams, Director), administrators from different units meet to discuss their work. Interinstitutional discussions among administrators were also incorporated into the professional development program of the College Ceenter of the Finger Lakes in Corning, New York. (For a sample list of questions that can be used in either interviews or small group discussions, see *Document 7-2*.)

Professional and Life Planning

At the present time three distinct (but potentially interrelated) processes of professional and life planning have been used in American colleges and universities: life-planning workshops, professional growth contracts, and consultation on job, career, and life transitions. Practitioners in the field rate these procedures as highly effective when used with faculty.[7] They would probably be just as effective for college administrators.

The *life-planning workshop model* has been extensively described and documented elsewhere, and will not be discussed or described in this volume. With minimal changes the workshop materials and designs in the *Handbook for Faculty Development* can be used by college administrators.[8]

Professional growth contracts were frequently used by Lance Buhl and his colleagues in the Educational Consulting Study (Cleveland, Ohio), by Carol Zion at Miami-Dade Community College (Miami, Florida), and by Richard Gross, President of Gordon College (Wenham, Massachusetts).

Gross has probably made the most extensive use of growth contracts for administrators.[9] In the process he uses, each participant first draws up an individual profile that includes a self-assessment of strengths, weaknesses, interests, and dislikes, a description of current roles, a statement of long-range goals, and an assessment of current and probable responsibilities during the contract period.

The second step involves a review of this profile by a committee selected by the administrator. The committee helps the administrator create his professional growth plans and coordinate these plans with current job responsibilities. During the third step, the administrator formulates his growth plans, indicating what goals he hopes to achieve and relating these goals to his previous assessment of his strengths, weaknesses, and roles. He then identifies the means by which the goals are to be achieved and the criteria by which achievement will be evaluated.

The growth plan is reviewed by the committee and modified, if necessary, and then submitted in final draft to a college-wide professional development committee. The growth plan is carried out over the specified period (usually one year). A typical growth contract involves a range of activities and interests, some of which are job-related (improving skills as committee chairman, for example), while others are of a more personal nature (finding more time for family life). Through the process of developing growth contracts, many administrators are able to integrate their personal and professional concerns and, with the support and resources of their colleagues and the institution, take action on these concerns.

"Bennis predicted, or at least hoped, that small, person-centered institutions would become more dominant in the future."

The last two steps of the growth contract process require that the administrator, assisted by the committee, evaluate the success of the growth plan and submit a final report to the college-wide development committee. The administrator may then begin another contracting cycle or he may prefer to wait for a year or two before formulating a new plan.

Consultation, the third approach to professional and life planning, was used by Fred Gaige and his colleagues at the Kansas City Regional Council for Higher Education (KCRCHE).[10] Gaige has identified three transitions that college and university administrators must make at some point in their personal and professional lives: job transitions (planned and prized promotions in an organization), career transitions (shifts into or out of college administration, or to another role in the same institution, or to another type of institution), and life transitions (major changes in life style, significant relationships, values, or goals). The KCRCHE staff assisted administrators and faculty in job transitions by means of several orientation activities: assignment of peer consultants to a newly appointed administrator, visits by new administrators to other campuses, and in-service training programs. Administrators who experienced career or life transitions were assisted by the KCRCHE staff through career-planning seminars. These seminars use life-planning techniques, as well as such career-oriented instruments as the Strong-Campbell Interest Inventory and the Edwards Personal Preference Schedule. KCRCHE also conducted job search seminars for administrators who lost their contracts as a result of retrenchment. These seminars provided the participants with information about job markets and job search procedures.

Professional and life-planning procedures, although still in their infancy, are already quite varied. But we are only beginning to develop the means by which a college administrator—or any man or woman, for that matter—can prepare for significant transitions in his personal or professional life. These transitions are likely to become more frequent and intense for college administrators as they continue to work within an institutional setting and a society that are increasingly exposed to the forces of change and instability.

Interpersonal Skills Training

Several administrative development programs make extensive use of training in interpersonal skills. At Virginia Commonwealth University (Richmond, Virginia), John Shtogren uses interpersonally-oriented training techniques in a program for department chairmen. He employs the "Models for Management" program developed by Jay Hall and his associates at Teleometrics, Inc. (P.O. Drawer 1850, Conroe, Texas 77301). This program incorporates many of the principles of management that were first advocated by Blake and Mouton, McGregor, Lewin, and other organizational development theorists.

Shtogren administers a variety of self-rating scales developed by Teleometrics. These scales focus on such interpersonal activities as decision making, conflict management, and being a change agent, and they help chairmen determine colleagues' preferred styles of functioning in each of these interpersonal domains. At the College Center of the Finger Lakes and the University of Puget Sound these same instruments have been used with remarkable success, though the underlying theory has been modified for use in higher education. The value of these instruments can be enhanced by involving participants in simulations in which they can try out new interpersonal skills and styles.

Personal Growth Workshops

The first two personal development components (discussions about work, and professional and life planning) provide the administrator with an opportunity for self-assessment (Phase 1 of the developmental sequence). The organizational development components provide administrators an opportunity to assess the relationship of which they are members (Phase 2). In moving to the action (third) phase of the developmental sequence, an administrator should possess the tools of professional development, as well as the skills that can be derived from interpersonal skills training. Integral to significant professional change, however, is a strong sense of self: the capacity to use one's creativity, emotional sensitivity, and power in the accomplishment of significant personal and organizational goals. Personal growth workshops can provide the resources that are needed for the achievement of this clear sense of self.

Many different personal growth workshop models have been developed over the past decade. Though sensitivity training has, quite rightfully, been used more selectively over the past few years in the training of key executives, other personal growth models have become increasingly creditable. Three of these models deserve special consideration: self-management, power and systems, and intensive journals.

The *self-management or "self-differentiation" workshops* that are conducted by Joyce and John Weir, under the auspices of the National Training Laboratories (P.O. Box 9155, Rosslyn Station, Arlington, Virginia 22209), encourage participants to examine the nature and extent of their control over various aspects of their personal lives. The Weirs use a variety of techniques (fantasy, dreams, body movement, personal autobiographies and diaries) to help participants increase their awareness and acceptance of physical and psychological functions, gain access to unconscious processes, and accept responsibility for all aspects of their lives. A similar model has been successfully used by Carolyn Hirsch of the Cleveland Gestalt Institute with both faculty and administrators of the colleges in the Great Lakes College Association.

> *"The intensive journal workshops allow participants the privacy to explore deeply personal areas of their lives, yet also provide a supportive environment for those who need encouragement."*

A second personal growth model, *power and systems*, was developed by Barry Oshry, also under the auspices of the National Training Laboratories. Earlier in this *Handbook* we described the problems that contemporary administrators face in relation to power—its use, its absence, its ambiguity. The issue of power is particularly troublesome to many college administrators. But unless they are exposed to the misuse of power in a dramatic and personally alarming manner, it is a subject that is infrequently discussed and seldom understood. Oshry offers one- to two-week workshops in which the principles and strategies of power are explored. Participants enter an artificial three-class society in which the differentiation of power is clear and extreme. For an extended period of time, they live and work in positions that range from those of extreme power to those of absolute powerlessness. They are encouraged to examine their feelings and actions under these conditions. Shorter simulations that touch on similar issues have been developed by Gary Shirts ("Starpower": Simili II) and William H. Bergquist ("Dilemma of Power") (See *Document 5-1.)*.

The third model of personal growth is the *intensive journal workshop*. Developed by Ira Progoff, a student of Carl Jung, this workshop model enables participants to work on highly personal issues in a situation that permits privacy and reflection.[11] Progoff asks participants to chart a series of experiences and feelings in terms of such elements as dreams, group experiences, and life transitions. At the beginning of the workshop, participants are asked to write about a recent event that greatly influenced their perceptions of life. Later they focus on other critical turning points in their lives. Each participant also "dialogues" in written form with a significant person in his life, an important work experience, a critical event, or even a troublesome part of his body. These dialogues, which are also used in gestalt-oriented workshops, can yield remarkable insights and energize a person to action.

Intensive journal workshops resemble life-planning workshops in several important ways. Both emphasize the written word and use of images, fantasies, and dreams. Progoff's workshops, however, tend to probe more deeply into the creative and less rational realms of life. The intensive journal workshops allow participants the privacy to explore deeply personal areas of their lives, yet also provide a supportive environment for those who need encouragement. David Whitcomb (California State University at Long Beach) has found intensive journal workshops to be highly successful for both faculty and administrators.

Supportive and Therapeutic Counseling

In his discussion of administrative transitions, Fred Gaige notes that the stress an administrator experiences can occasionally be great enough to prevent him from functioning in an adequate manner.[12] Gaige recommends that every college or university appoint a person to serve as a referral service for administrators (or faculty) in need of psychotherapeutic or counseling assistance. Referrals should be made from a list of men and women who have been effective in working with college administrators or professionals in comparable jobs.

An administrator development program should not be considered a failure just because a participant decides to seek therapeutic assistance as a result of attending this activity. An administrator who is experiencing serious emotional problems often looks for help from an activity that is formally linked to his work (and therefore respectable). Within this context, the administrator will try—usually unsuccessfully—to resolve his emotional problems. If members of the staff are sensitive to these problems and do not run away from them, they can often help the administrator recognize his need for assistance. Any development program that touches on either the personal or organizational life of the administrator should provide some access to a psychotherapist or counselor. This person can advise on the design of training or consulting activities and can provide assistance or referral for participants who need it.

Organizational Development

The administrator who attempts to modify current managerial practices or lead an institution in new directions as a result of an effective professional or personal development program may confront significant organizational barriers. An innovative administrator is more likely to encounter these restraints than an innovative faculty member because he generally has less autonomy than the faculty member. So that the administrator and his colleagues can confront these problems in a creative and productive manner, resources for systematic organizational development must be provided. These include process consultation, team building, intergroup activities, survey feedback, and structural-technical consultation.

Process Consultation

Partly because most programs of organizational change focused on the individual (human relations training, for example) have not been fully effective, many practitioners of organizational development have begun to work directly with small groups and organizations in their home settings or as units at workshops or retreats. An external consultant observes the group or organization in operation and periodically comments on the interpersonal dynamics of the group. Edgar Schein, one of the leading developers of the process consultation approach, describes it as follows:

> The job of the process consultant is to help the organization to solve its own problems by making it *aware of organizational processes,* of the consequences of these processes, and of the mechanisms by which they can be changed. . . . the ultimate concern of the process consultant is the organization's capacity to do for itself what he has done for it. Where the standard consultant is more concerned about passing on his knowledge, the process consultant is concerned about passing on his skills and values.[13]

In his work with campus change teams, Walter Sikes of the Center for Creative Change in Higher Education (Yellow Springs, Ohio) also makes extensive use of process consultation. Sikes observes a group as it works on a real problem or reflects on its own process; then he comments on interactions in the group. Sikes has used process consultation with a variety of colleges and universities. Others who have made extensive use of process consultation in higher education are Tony Grasha (University of Cincinnati) and David Whitcomb (California State University at Long Beach).

Team Building

According to French and Bell this procedure, which is closely related to process consultation, is:

> . . . designed to enhance the effective operation of system teams. [Team-building activities] may relate to task issues, such as the way things are done, the needed skills to accomplish tasks, the resource allocations necessary for task accomplishment; or they may relate to the nature and quality of the relationships between the team members or between members and the leader.[14]

In working with change programs at twelve colleges and universities, Jack Lindquist (University of Michigan, Ann Arbor, Michigan) used team-building activities. Sikes, Grasha, and Whitcomb also have used this organizational development technique, and the staff of the Center for the Advanced Study of Educational Administration (CASEA) at the University of Oregon has used team-building activities for organizational development in primary and secondary schools.

Intergroup Consultation

This particular component encompasses a number of different techniques and conceptual models directed either at easing tension, conflict, or competition between two or more groups or at helping them form new relationships. A typical procedure is the intergroup exercise originally developed by Blake, Shepard, and Mouton for use in labor-management relationships.[15] The groups first agree to search for mechanisms or procedures to improve intergroup relationships. They then meet separately, and each drafts two lists; one list expresses how the group feels about itself and the other how it feels about the other group. Each group also tries to predict what the other group will say about it. The groups then meet and exchange lists. They discuss each list separately and then together. Finally, they draft a list of issues and problems that need to be resolved and plan actions that will bring about this resolution.

Survey-Feedback Activities

While the previous components have been directed toward individuals or small groups, survey feedback is usually directed toward an entire organization or institution. According to Havelock this component involves:

> . . . systematic collection of data from the staff or employees of an organization on a wide range of issues, including supervisor perceptions, work motivations, aspirations, communication patterns, and satisfactions. This data is summarized and fed back to administrators and their subordinates as a means of confronting *real* perceptions and performance. This process helps to unfreeze the organization by revealing real but heretofore unspoken conflicts and problems. The client system is then able to generate an accurate self-diagnosis and specific remedial actions. . . .[16]

Survey-feedback techniques were used by Bonnie Buenger-Larson (College Center of the Finger Lakes) in her work with the administrative staff at Alfred University, and by Tony Grasha and Ron Boyer in their work with academic departments at the University of Cincinnati.

One useful variation on the survey-feedback method is the *confrontation meeting* developed by Richard Beckhard.[17] A one-day meeting, designed to assess the organizational health of the institution, is held for key administrators, representatives from all segments of the institution, or all interested members of the campus community. Participants generate information about the institution's major problems, analyze the underlying causes, develop plans for action to correct the problems, and set up a schedule. During a period of institutional crisis in the 1960s, this technique was used at the University of Cincinnati by Stuart Gilbreath (now at San Diego State University, San Diego, California).

Structural-Technical Consultation

This component of organizational development concerns reorganization of the use of time and space within an academic unit or institution. Walter Sikes and Laurence Barrett have identified several faculty development activities that fall into this category.[18] Similarly, several administrative development activities relate to this problem: the reassignment of an administrator in response to his changing interests or the changing goals of the administrative unit, consolidation of an administrative unit in a single building to facilitate flow of information between members previously located in different buildings, and development of a new organization chart that more accurately reflects the desired flow of information and control within and between administrative units. But at the present time there is little formal consultation in this area.

The vital role to be played by structural-technical consultation is emphasized by Goodwin Watson who notes that changes in interpersonal and organizational processes or personal attitudes must be accompanied by appropriate structural modifications if changes are to be meaningful.[19] For instance, two administrative units who have just participated in a successful intergroup exercise may wish to work together in the near future, but they are located too far apart to make it convenient. Moving these units closer together might ultimately be more important to the long-term success of the intergroup exercise than the exercise itself.

The new organizational and role models that are described in the final section of this chapter indicate ways in which time and space can be used more effectively in colleges and universities.

COMPREHENSIVE ADMINISTRATOR DEVELOPMENT

If all of the professional, personal, and organizational development components described in this chapter were provided in a single administrator development program, it would undoubtedly be responsive to all or nearly all of the concerns of college administrators. But probably no administrator development program contains all or even most of these components, nor should it. Many of the most successful programs in faculty and administrator development offer only one specific service that responds to a specific need of the participants.

Planners of an administrator development program should give serious consideration to each of the components. Furthermore, all successful administrator development programs will eventually confront (and perhaps even help create) certain personal, professional, and organizational concerns. Therefore if an administrator development program cannot be responsive to these concerns, the program staff or sponsors should be able to identify other programs at the institution or elsewhere that can provide appropriate services.

FUTURE DIRECTIONS FOR ADMINISTRATOR DEVELOPMENT

Programs of administrator development should be designed to prepare the college administrator not only for current problems but also for those of the near future. Those who predict the future roles of college administrators usually begin by extrapolating from current trends, which indicate that American colleges and universities are likely to make greater use of institutional research officers' real-time management through management information systems and student service personnel who focus on preventive action. Professional development specialists, program evaluators, government relations officers, and grantsmen are likely to become even more prominent in the future.

Formal studies about the future of American higher education also provide some clues about the role to be played by college administrators. In a 1972 study by the National Center for Higher Education Management Systems (NCHEMS), 385 leaders in American postsecondary education were asked to forecast changes over the next fifteen years.[20] Several of the conclusions from this study relate directly to college administrators. First, the panelists forecasted that administrators will assume primary responsibility for major institutional decisions, and that faculty will not significantly increase their decision-making role. (In fact, it is possible that because of no-growth, declining enrollments, and probable release of some faculty, faculty may be more defensively assertive than these projections once indicated.) Campus administrators, however, will lose some autonomy because of the growing intervention of outside agencies. There will be more interinstitutional coordination and more control by state and federal agencies. The panel also forecasted, as might be expected, that use of new management and planning tools (such as those offered by CASC and NCHEMS) will increase, and that there will be a greater emphasis on the assessment of program outcomes and exchange of information among institutions. For the administrator this forecast seems to indicate that the areas of government relations, interinstitutional liaison, institutional research, and program evaluation will become more important.

Another study, conducted at the 1975 National Institute of the Council for the Advancement of Small Colleges (CASC), reflects the predictions of 250 small college administrators for their colleges in 1985. This panel concluded that administrators of small colleges will be spending a greater proportion of their time in political lobbying and off-campus auxiliary business enterprises. Trustee involvement in college affairs will rise, and a greater degree of accountability to and control by government agencies can be expected. The college administrator will need access to more financial and legal talent, and will become increasingly involved in the evaluation of all aspects of the institution. As in the NCHEMS survey, the CASC administrators concluded that administrative control of institutional governance will probably not decrease although an increase in community influence on college planning can be expected. The administrator at the small liberal arts college will therefore need political, legal, financial, interpersonal, evaluative, and collaborative skills to meet new or expanded institutional roles.

Projections about the future of American social institutions in general may shed further light on what the college administrator can expect. In 1970 Warren Bennis described what he called "organic populism," which he believed would replace the large, bureaucratic corporations and multiversities of the 1960s and early 1970s.[21] Bennis predicted, or at least hoped, that small, person-centered institutions would become more dominant in the future. Even in those institutions that must remain large, autonomous departmental units would prevail. But small institutions or units would tend to become distinctive and focused on a single purpose, like boutiques rather than department stores.

"Programs of administrator development should be designed to prepare the college administrator not only for current problems but also for those of the near future."

Bennis, like Schumacher and other advocates of "small is beautiful,"[22] questions conventional beliefs about economies of scale. Almost any social institution, according to Bennis, tends to become dysfunctional and dehumanizing when it grows beyond a certain size. This fact and its profound implications, once recognized, will bring about significant alteration of the size and structure of our institutions, including those that serve an educational mission.

In his emphasis on distinctiveness, Bennis anticipated the findings of the first Newman Report on American Higher Education.[23] Bennis and Newman both argue that institutional distinctiveness and diversity are essential to a viable and responsible higher education community.

In the future, according to Bennis, administrators will be confronted with an information overload and will need "the emotional capacity to understand the effect of their own behavior and personality upon the conduct of others."[24] The administrator of the future will acquire power not from status or role, but from an ability to inspire the participation of others in decision-making processes. Organic populism will also require an administrator's moral and emotional involvement in the human aspects of the institution.

Finally, Bennis believes that most human relationships in the future will be temporary. College administrators, like other members of society, will change jobs frequently, working with new people from many different segments of society for short, intensive periods. An administrator will have to learn how to develop deep human relationships quickly—and let them go just as quickly. He will have to learn how to enter a situation and immediately know what roles are satisfying and how to attain them.

"New organizations will emerge that more closely resemble networks, and power and information will flow through all available channels in the organization."

Donald Schon anticipates a similar change in the structure and dynamics of social organizations.[25] He speaks of the decline in traditional hierarchical organizations where power and information diffuse from the center (top) to the periphery (bottom). New organizations will emerge that more closely resemble networks, and power and information will flow through all available channels in the organization. Schon argues convincingly for the presence of networks in many formal agencies (for example, governmental and educational institutions) as well as informal social agencies (such as social movements and helping relationships in a community).

New demands will be placed on leaders in these networks. Schon identifies six roles:

> *System negotiator:* The ombudsman, guide, middle-man . . . who serves as the vehicle by which others negotiate a difficult, isolated, rigid or fragmented system.
>
> *"Underground" manager:* He maintains and operates informal, underground networks. Through personal relationships, he maintains a coherent operation—for example, across governmental agency lines—sometimes pursuing in this way functional goals that have little or nothing to do with the formal policies of the agencies involved.
>
> *Manoeuvrer:* He operates on a "project" basis, and is able through personal networks to persuade or coerce institutions to make the shifts required to realize a project that cuts across institutional lines. . . .
>
> *Broker:* In the literal, commercial sense a broker connects buyers and sellers. He helps each to identify the other, serves as a channel for information (in principle, there would be no need for brokers if information flow were perfect) and makes "deals" if he is able to convince buyer and seller that each has something the other wants.
>
> Often, he also serves to clear away the institutional, regulatory and administrative debris which stands in the way of transactions, performing these functions both because of his superior knowledge of the necessary steps and because of his willingness to cope with this level of detail.

> Metaphorically the broker can be the person who functions as "matchmaker" at all levels and in all sorts of functional domains. . . .
>
> *Network manager:* He oversees official networks of activities and elements, assuring the flows of information, the processes of referral, tracking and follow-up, and the provision of resources required for the network to operate.
>
> *Facilitator:* He attempts to foster the development and interconnection of regional enterprises, each of which constitutes a variant of central themes of policy or function. His role is at once that of consultant, expediter, guide and connecter. He must provide, as well, the "meta" functions of training and consultation which enable regional operators to establish and maintain their own networks.[26]

The network model seems appropriate to the modern college. For example, in most colleges there are significant discrepancies between the curriculum described in the college catalog and that actually taught in the classroom. And what is taught in the classroom is not necessarily what the students learn. Both faculty and students seem to have formed independent networks to determine what should be taught and what should be learned.

Nevitt Sanford and his colleagues at the Wright Institute describe an "academic culture" that pervades the instructional values and practices of faculty.[27] This culture is sustained by an informal set of relationships (networks) between faculty in the same discipline, regardless of their institution. And within the institution, relationships among older and more powerful faculty extend across disciplines.

Among students, an informal, academic helping network usually exists between upper and lower division students. Older students tell younger ones which courses to take, how to take them, what a particular faculty member "*really* wants," and the easiest way to impress him. The student helping network is often linked with the informal social networks of the institution. Both the faculty and student networks tend to sustain conservative teaching practices. The faculty network perpetuates values associated with scholarship, academic standards, and the role of faculty as information-givers. The student network helps the students to "get by" rather than to resist or help improve current teaching-learning practices.

"Boulding believes that intersect organizations play a vital role in our society because of our inability to replace existing organizations with ones that more effectively meet current and emerging social needs."

An academic leader who wishes to change the way in which teaching and learning occur will have to take these networks into account. He will have to work through the network leadership, often assuming one or more of the six roles identified by Schon. And similar networks exist in the nonacademic sectors of most colleges though these tend to be much smaller, less complex, and more accessible to college administrators than are faculty and student networks.

Another image of the future that seems applicable to colleges is suggested by social theorist Kenneth Boulding. He describes the emergence of "intersect" organizations,

> "peculiar" organizations which [do] not fall into any of the well-recognized categories. They are not quite government, although they are usually the result of some kind of government action. They are not quite business, although they perform many business functions. They are not quite educational or charitable organizations either, though they may also perform some of these functions. They frequently occupy "cracks" or interstices in the organizational structure of society. They have been named "intersects" because they have some qualities of more than one conventional type of organization.[28]

Boulding believes that intersect organizations play a vital role in our society because of our inability to replace existing organizations with ones that more effectively meet current and emerging social needs. Contemporary social organisms, unlike biological organisms, do not have a built-in genetic code for death. Outmoded agencies that have ceased to meet important social needs, or any needs at all for that matter, linger on forever, and needs that would otherwise fall by the wayside are met by emerging intersect organizations.

"A job enrichment program focuses on the work rather than the worker. How can the work be made more meaningful or interesting?"

While the American college is not, strictly speaking, an intersect organization, it does share many of the intersect's "peculiar" properties. First, like the intersect organization the American college is no longer clearly private or clearly public. Because federal and state government agencies play an increasingly important regulatory and funding role in the independent liberal arts college, both collegiate and intersect administrators are becoming more and more concerned with governmental relations and public liaison. Secondly, intersect and collegiate institutions both suffer from a diffusion of mission. Does the college (or intersect agency) exist to serve economic ends or to serve educational or social service ends that are defined by a specific community? Collegiate and intersect leadership must be able to tolerate this ambiguity and continue to resist any premature resolution in favor of either economic or educational ends. Third, colleges and universities, like intersect agencies, must help fill the gaps and correct the inadequacies of existing social institutions. This can be done through the perpetual renewal of academic programs—a process that requires of all administrators, academic or nonacademic, the flexibility and perspective of the effective intersect manager.

AN AGENDA FOR ADMINISTRATOR DEVELOPMENT

In this *Handbook* we have briefly reflected on the past and present roles of college administrators, and we have touched on some images of the future. This brings us to a point where we can draw up a specific agenda that defines the developmental needs of the contemporary and future college administrator. (See Figure 7-3.) The agenda is necessarily general but it can provide some direction for administrator development programs. Twenty-five skills are listed; fifteen are *enabling* skills, and ten are *performance* skills. Although the enabling skills are not directly related to the functions performed by college administrators, they are necessary to the successful achievement of these functions. The performance skills directly relate to institutional or interinstitutional functions. A developmental program that is responsive to these twenty-five enabling and performance skills will provide the resources needed for continuing professional growth.

FIGURE 7-3
A Developmental Agenda for College Administrators

ENABLING SKILLS

Personal

1. Tolerance of career and role transitions
2. Tolerance of ambiguity in information and roles
3. Tolerance of information overload, including the ability to abstract, filter, select, code, and retrieve information
4. Flexibility in responding to changing institutional goals, perspectives, and expectations
5. Clarity and consistency in work-related moral and ethical values

Interpersonal

1. A clear sense of one's impact on other people in specific settings
2. Ability to communicate clearly and listen actively to another person
3. Ability to establish and obtain gratification from short-term intensive work-related relationships
4. Ability to draw other people into the decision-making process
5. Ability to bring together the needs and resources of other people, linking individuals so that they can help or be helped (brokerage)

Organizational

1. Helping other people work within a complex organization in order to meet personal or organizational goals (system negotiation)
2. Development and continuation of relationships (network) within the organization that remain essentially independent of the primary purposes and goals of the organization, thereby serving as a corrective force to this organization (underground management)
3. Working toward the achievement of specific personal or organizational goals through informal interpersonal relationships in the organization (networks) (maneuverer)
4. Provision of and control over the flow of information and resources in the organization (network manager)
5. Increasing the capacity of the organization to identify, analyze, solve, and avoid problems, thereby becoming increasingly self-sufficient and self-renewing (facilitator)

PERFORMANCE SKILLS

Institutional

1. Articulate and make effective use of institutional research and program evaluation in institutional management, planning, and development
2. Integration of personnel evaluation and development processes, in relation to just and productive recruitment, selection, delegation, and supervision practices
3. Awareness of and ability to work with the informal and formal networks of the institution
4. Ability to clarify, maintain, and work with the distinctive and often contradictory goals and priorities of the institution, as these goals and priorities form a composite mission for the institution
5. Retention of a comprehensive institutional perspective, with some sensitivity to the operations and impact of each unit of the institution

Interinstitutional

1. Ability to work with governmental agencies in terms of both complying with existing regulations and funding priorities, and lobbying for change in these policies and priorities
2. Ability to work effectively with and provide persuasive institutional information for the general public and specifically-interested publics (including trustees)
3. Ability to work easily and creatively with representatives of other educational institutions
4. Ability to identify, initiate, and manage auxiliary business enterprises
5. Retention of a broad perspective on the pressing concerns and potentials, as well as probable future directions, of higher education

NOTES

1 John A. Centra, *Faculty Development Practices in U.S. Colleges and Universities* (Princeton, N.J.: Educational Testing Service, 1976).

2 A detailed description of the clinic process is provided in William H. Bergquist and Steven R. Phillips, *A Handbook for Faculty Development*, ed. Gary H. Quehl (Washington, D.C.: The Council for the Advancement of Small Colleges and Pacific Soundings Press, 1977), vol. 2, chapter 5.

3 Sylvia W. Galloway and Charles F. Fisher, eds. and comps., *A Guide to Professional Development Opportunities for College and University Administrators* (Washington, D.C.: American Council on Education, 1978).

4 Herbert E. Wissman, "A Progress Report on Applying Job Enrichment Concepts," reprinted in *Readings in Management: Landmarks and New Frontiers*, 3rd ed., ed. Ernest Dale (New York: McGraw-Hill, 1975), p. 309.

5 William A. Shoemaker, "Information Systems: Their Role in Administrative Development," presentation made at "Running Higher Education," a conference sponsored by the Council for the Advancement of Small Colleges (CASC) and the American Association for Higher Education (AAHE), February 1977. See also William H. Bergquist and William A. Shoemaker, eds., *A Comprehensive Approach to Institutional Development*, New Directions for Higher Education, no. 15 (San Francisco: Jossey-Bass, 1976).

6 Mervin B. Freedman and others, *Academic Culture and Faculty Development* (Berkeley, Calif.: Montaigne Press, in press).

7 Centra.

8 Bergquist and Phillips, vol. 2, chapter 10.

9 Richard Gross, "Growth Contracts," presentation made at CASC/AAHE Conference, "Running Higher Education."

10 Frederick H. Gaige, "Mid-Career Transitions Program," presentation made at CASC/AAHE Conference, "Running Higher Education."

11 Ira Progoff, *At a Journal Workshop: The Basic Text and Guide for Using the Intensive Journal* (New York: Dialogue House, 1975).

12 Gaige.

13 Edgar H. Schein, *Process Consultation: Its Role in Organization Development* (Reading, Mass.: Addison-Wesley Pub. Co., 1969), p. 135.

14 Wendell L. French and Cecil H. Bell, Jr., *Organization Development: Behavioral Science Interventions for Organization Improvement* (Englewood Cliffs, N.J.: Prentice-Hall, 1973), pp. 102-103.

15 Robert R. Blake, Herbert A. Shepard, and Jane S. Mouton, *Managing Intergroup Conflict in Industry* (Houston, Tex.: Gulf Pub. Co., 1964).

16 Ronald G. Havelock, *The Change Agent's Guide to Innovation in Education* (Englewood Cliffs, N.J.: Educational Technology Publications, 1973), p. 158.

17 Richard Beckhard, *Organization Development: Strategies and Models* (Reading, Mass.: Addison-Wesley, 1969).

18 Walter Sikes and Laurence Barrett, *Case Studies on Faculty Development*, ed. Gary H. Quehl (Washington, D.C.: The Council for the Advancement of Small Colleges, 1976).

19 Goodwin B. Watson and David Johnson, *Social Psychology: Issues and Insights*, 2d ed. (Philadelphia: Lippincott, 1972).

20 Vaughn E. Huckfeldt, *A Forecast of Changes in Postsecondary Education* (Boulder, Colo.: National Center for Higher Education Management Systems, Western Interstate Commission for Higher Education, 1972).

21 Warren G. Bennis, "Organic Populism: A Conversation with Warren Bennis and T George Harris," *Psychology Today* 3 (February 1970): 48-71.

22 E. F. Schumacher, *Small Is Beautiful* (New York: Random House, 1973).

23 Frank Newman, chairman, *Report on Higher Education* (Washington, D.C.: U.S. Department of Health, Education, and Welfare, Office of Education, 1971).

24 Bennis, p. 54.

25 Donald A. Schon, *Beyond the Stable State* (New York: Norton, 1973).

26 Schon, pp. 196-199.

27 Freedman.

28 Kenneth E. Boulding, "Intersects: The Peculiar Organizations," in *Challenge to Leadership: Managing in a Changing World*, The Conference Board, ed. Edward C. Bursk (New York: Free Press, 1973), p. 179.

Documents
Chapter 7

Document 7-1

Title: Career Development Leaves

Source: John Coyle, Oakland University, and Mark Gelber, University Without Walls at Skidmore College

General Description:

Sabbatical leaves have long been recognized as appropriate for faculty development and growth. In the past, few institutions have recognized a similar need for administrative personnel. But in the last decade some institutions have adopted administrative development leave plans.

CAREER DEVELOPMENT LEAVE PROGRAM

Oakland University

Description of Program:

(a) Members of the AP staff of Oakland University who have been appointed to a continuing contract and who have a minimum of three years of continuous full-time employment at the university shall be eligible for a Career Development Leave. Such leave is limited to three months (70 working days, including holidays) at full pay and allowances, or six months (140 working days, including holidays) at one-half pay.

(b) A Career Development Leave will include the employee's annual vacation leave allotment, usually twenty-two days, but will not include the employee's accumulation from previous years. A Career Development Leave may be pro-rated on a part-time or intermittent basis to cover specific program needs.

(c) A Career Development Leave shall be approved only for planned programs of study, research, or other activities designed to improve the professional competence of the employee.

(d) Written request for a Career Development Leave, detailing the program purpose and objective and the specific period(s) of time desired, must be submitted to the appropriate division head for recommendation and transmittal through the Employment Relations Department to the Board of Trustees for consideration and approval. Requests must be initiated at least sixty days in advance of the date the leave is to commence.

(e) If the request for a Career Development Leave is denied, the applicant will be notified in writing of the reasons therefor.

(f) The AP staff member completing a Career Development Leave will submit a report within thirty days after returning to work, which details the accomplishments of the leave. Such reports shall be forwarded to the division head for review and transmittal to the Employment Relations Department and the president. The report should address the purpose and objective for which the leave was granted.

(g) An employee who makes use of a Career Development Leave is obligated to remain in the employ of Oakland University for a minimum of one year following the end of the leave. Termination during the year of obligation will result in a pro-rata offset against any accumulated vacation and personal leave days.

(h) Additional Career Development Leaves may be granted following three continuous years of full-time employment at Oakland University subsequent to satisfactory completion of a previously compensated leave.

ADMINISTRATIVE LEAVE PROGRAM

University Without Walls at Skidmore College

Purpose of the Program: The College has established a leave of absence program for administrators which is similar in concept to the sabbatical program for faculty members. The objective of the program is to encourage the professional growth of administrators and to enhance their competence and potential for contributing to Skidmore.

Eligibility: The program is open to full-time administrators who have been employed for at least seven years. The leave may vary in length from several weeks to as long as one term. No more than four persons will be granted leave during one calendar year. Replacement personnel will not be hired since one of the benefits of the program is to encourage the development of administrative depth and flexibility.

Selection Procedure: Leaves are granted by the Executive Committee of the Board of Trustees on the recommendation of the President. Nominations are made to the President by those administrators who report to him, along with a statement of the leave project, duration, and plans for coverage of duties during the leave.

Financial Arrangements: Financial support for some leaves may be provided by other institutions, governmental grants or private agencies. When such support is not available, the College will provide full pay and fringe benefits. A report summarizing the benefits derived from the leave will be sent to the President by the recipient on the conclusion of the absence.

Document 7-2

Title: Discussions about Work

Source: William H. Bergquist

General Description:

A list of questions has been developed for use by administrators in discussions about their work. These questions reflect three different perspectives: job, institution, and higher education. The questions can be used in either extended interviews with administrators or small group discussions among administrators. Conversations of this sort will help administrators clarify their own values, assumptions, and aspirations; they can also help to open up the organizational climate of an administrative unit if all of the members of this unit are interviewed or are involved in a small group discussion about work-related issues.

Instructions for Use:

If in-depth interviews are to be conducted, ten to twelve questions from the "Discussions about Work" list should be selected (and modified if necessary). The interview should be loosely structured, with the content of one question emerging from the content and direction of the interviewer's response to the previous question. In general, interviews with administrators should proceed from a discussion of their job to a discussion of the institution and then to a discussion of higher education in general.

This interview data will often be richly insightful and provocative. If all of the members of an administrative unit have been interviewed, the data from these interviews should be synthesized and shared with all members of the unit. Anonymous quotes from specific interviews should be used to illustrate particular points or themes. This interview data can be used as a means of building greater trust, openness, and introspection among members of the team (see the discussion of team-building procedures in the narrative portion of this chapter and in *Document* 5-2).

When used in a small group context, the "Discussions about Work" questions should be introduced one at a time to the entire group. Usually about ten to fifteen minutes should be allowed per question, though the time schedule should be kept flexible. If a specific question evokes an extensive and interesting discussion, then the group should pursue it for a longer period of time. The small group discussion format can also be an effective vehicle for team building.

Discussions About Work

I. *Perspectives on One's Job*

1. How did you get involved in your current work? Were certain people or events instrumental in your decision to pursue this line of work?
2. Which aspects of your current job do you find most enjoyable? Most challenging? Most meaningful? In what area of your work are you currently learning the most? The least?
3. What would you most like to hear about your performance on the job from your supervisor? From your subordinates? From your colleagues?
4. What is the one criticism that you are most fearful of receiving from your supervisor? From your subordinates? From your colleagues?
5. If you were to leave your current job, what would you do? Why? What would you like to be able to do? Why?
6. What do you think you will be doing five years from now? How does this relate to your current job? What steps, if any, are you taking at the present time to be where you want to be in five years?
7. What is the one thing you would most like to change about your current job? What is the one thing you hope will never change in your current job as long as you hold it?
8. What are the three most important things you would like to convey to the person who will hold your job (or a comparable job) after you leave it?

II. *Perspectives on One's Institution*

1. What do you think are the distinctive features of this college (university)? Why would a student want to attend this institution?
2. Why do you continue to work at this college (university)? Which purposes or values of this institution are most compatible with your own purposes or values?
3. What do you like most about the working environment at this institution? What do you like least? If you were to leave this college (university) and go to another, what would you look for in terms of an acceptable working environment? An ideal working environment?
4. What major changes, if any, do you think need to take place at this college (university) during the next five years if it is to remain (become) viable? What would be the effects of these changes on your own professional life?
5. How have students at this college (university) changed, if at all, during the past decade? What effect, if any, does this have on your job? Why?
6. What three things could you do in your present job that would contribute most to the success of this institution? What resources (time, money, people, machines, materials) would you need to do these things?
7. If you could change jobs with any other person in this institution for a one-month period, who would it be? Why? What if you were to change jobs for a one-year period? Who would it be? Why?
8. If you were a student again, would you attend this college (university)? Under what conditions would you attend? Not attend?

III. *Perspectives on Higher Education*

1. How do you think college-level students learn most effectively? Do you think current teaching practices are effective? How would you change them if given the opportunity?
2. What changes do you foresee in the near future with reference to public policy about the financing of higher education? About affirmative action in higher education? About collective bargaining in higher education? About state or federal planning in higher education?

3. What do you think are the essential characteristics of an effective leader in higher education today? Are there any common traits or talents that you have observed among contemporary educational leaders whom you admire? As President of the United States, who would you like to appoint as Commissioner of Education? Why?
4. If all of the colleges and universities in the United States were to close down at the end of this term, what difference would it make? Are there other institutions in our society that could readily take the place of higher education?
5. If you had to move to a different kind of college or university, what type would you choose: small two-year community college, large two-year community college, small four-year private college, small four-year public college, large four-year private university, large four-year public university or graduate-level research and development center? Why? What would be your second choice? Why? What would be your last choice? Why?
6. In what ways, if any, do you think the academic programs of most colleges and universities will differ in the year 2000 from what they are now? Why do you think these changes will occur? Who will bring about these changes?
7. Imagine that you have been given the assignment of bringing together everyone in the country with jobs that are the same as or similar to your own. You are to plan a two-day conference. What are the three most important topics you would like this group to address? Why? What one action might this group take that would have the greatest positive impact on American higher education?
8. Imagine that a college-aged boy and girl, a middle-aged woman, and an elderly man stopped you on the street just as you were returning home after a hard day of work. They told you that they were trying to decide whether or not to go to college. What would you ask each of them? What would you tell each of them?

Document 7-3

Title: Management Development Plan

Source: Carol Zion, Miami-Dade Community College, Miami, Florida

General Description:

Clear role definitions (see *Document 3-6*) for all administrators are a major aspect of the reorganization plan for North Campus at Miami-Dade Community College. These role definitions are to be the basis for evaluating all people with administrative responsibilities. Each role definition carries with it indicated skills and abilities that are essential for fulfilling that specific role. The Management Development Plan is part of the campus commitment to support all administrators in acquiring or strengthening these skills and abilities.

Instructions for Use:

1. Role negotiation takes place between supervisor and subordinate.
2. Needed skills and abilities are analyzed in terms of the final role definition (original list of skills and abilities may be modified or augmented).
3. Supervisor and subordinate decide which skills and abilities need to be strengthened or acquired.
4. These skills and abilities (as designated in number 3) are put in priority order to form a growth plan. This growth plan is to cover a three-year period.
5. A grid is to be prepared by each area to indicate the yearly skill-training requirements for that area (type of skill and number of people involved).
6. Development may take the form of:
   a. on-campus workshops (cross area) for a specific skill
   b. off-campus training
   c. team-building or seminars within an area if the need is related only to that area
   d. one-to-one personal counseling between the supervisor and subordinate.
7. The program will be coordinated by the vice-president's staff for budget, evaluation, and state reporting purposes.

Just as the objectives of a professional growth plan relate to a particular individual, the means for attaining those growth objectives relate to needed skill development, individual learning style, and college resources.

Document 7-4

Title: Administrative Development Workshop Designs

Source: William H. Bergquist

General Description

While there are many designs that are possible for an administrative development workshop, three sample designs are provided here to give a workshop designer and trainer some general ideas about what several types of workshops might look like. In each instance, exercises, instruments, and/or handouts have been suggested that are available in this volume or in the first (*FD 1*) or second (*FD 2*) volume of *A Handbook for Faculty Development.** The first design focuses on professional planning, the second on decision making in small group settings, and the third on administrative leadership (a general survey workshop). All three workshops are of moderate duration (eleven to sixteen workshop hours). Each requires a significant commitment of time from an administrator, but could be completed over a weekend in a retreat setting, or could be conducted on-campus over a one- to three-week period.

Instructions for Use:

The three designs provide only the minimal information needed to conduct a workshop. One should carefully review the exercises, instruments, and handouts, and if appropriate, become familiar with the underlying theory that is referenced in each written resource. The designs can be particularly useful as starting points for the design of a workshop tailored to the specific needs of the participants and the skills and resources of the training staff.

---

*William H. Bergquist and Steven R. Phillips, ed. Gary H. Quehl (Washington, D.C.: The Council for the Advancement of Small Colleges, 1975-77).

SAMPLE WORKSHOP DESIGN

Workshop Design One

Focus: Professional Planning

Duration: 11 hours

Activity Number	General Goal	Instructional Methods	Instructional Materials	Duration
1	• Help participants clarify some of their values and aspirations about their current job.	• Small Group Discussions	• Discussions About Work *(Document 7-1)*	3 hours
2	• Help participants examine transitions in their lives.	• Psychometric Instrument • Self-Assessment • Participants Handout • Small Group Discussion	• Transitions (Exercise Number 13, *FD 2*) Some Strategies for Managing Major Life Transitions (Handout Number 5, *FD 2*)	3 hours
3	• Help participants assess their assumptions about personal futures.	• Self-Assessment	• Perspectives on Life (Exercise Number 15, *FD 2*)	2 hours
4	• Help participants develop professional plans.	• Self-Assessment • Small Group Discussions	• Building a Project (Exercise Number 18, *FD 2*)	3 hours

SAMPLE WORKSHOP DESIGN

Workshop Design Two

Focus: Decision Making in Small Groups

Duration: 14 hours

Activity Number	General Goal	Instructional Methods	Instructional Materials	Duration
1	• Acquaint participants with different styles of decision making	• Mini-Lecture • Participants Read Handout • Mini-Lecture	• Observations of Small Group Decision Making (Exercise Number Five, *FD 1*)	30 minutes
2	• Give participants an experience doing or observing small group decision making	• Simulation • Observation (Using Decision-Making Form) • Feedback	• Discovery (Exercise Number Six, *FD 1*)	2½ hours
3	• Help participants assess their own decision-making style	• Psychometric Instrument • Mini-Lecture • Small Group Discussion	• Group Encounter Survey (Teleometrics Inc., Conroe, Texas) • Grid Theory (Chapter 9, *FD 1*)	3 hours
4	• Give participants another experience in doing or observing small group decision making	• Simulation • Observation (Using grid theory) • Feedback	• Parking Lot *(Document 5-3)*	2 hours
5	• Help participants look at one personal dimension of decision making, i.e., the use of power	• Simulation • Discussion	• Dilemma of Power *(Document 5-1)*	3 hours

6	• Help participants look at the interpersonal dimension of decision making	• Mini-Lecture (FIRO Theory) • Psychometric Instrument • Discussion about Instrument • Discussion about FIRO Questions	• FIRO-B Scale (Psychological Corporation) • FIRO Team Building *(Document 5-2)*	3 hours

SAMPLE WORKSHOP DESIGN

Workshop Design Three

Focus: Administrative Leadership (General)

Duration: 16 hours

Activity Number	General Goal	Instructional Methods	Instructional Materials	Duration
1	• Help participants clarify their values and assumptions about administration	• Small Group Discussions	• Discussions About Work *(Document 7-2)*	3 hours
2	• Help participants examine decision-making skills	• Simulation • Observation (Using Observation of Small Group Decision-Making Form) • Feedback	• Parking Lot *(Document 5-3)* Observation of Small Group Decision Making	3 hours
3	• Help participants examine conflict-management skills	• Mini-Lecture (STOP Model) • Small Group Discussions • General Discussion	• Managing Conflict (Chapter 10, *FD 1*) • George and Harry (Exercise Number 8, *FD 1*)	2 hours
4	• Help participants examine helping skills	• Participants read handout • Three-person work group • Discussion	• Paraphrase (Handout Number 9, *FD 1*) • Helping Trios (Exercise Number 14, *FD 1*)	3 hours
5	• Help participants examine power	• Simulation • Discussion	• Dilemma of Power *(Document 5-1)*	3 hours

6	• Help participants examine transitions in their own lives	• Psychometric Instrument • Self-Assessment • Participants Read Handout • Small Group Discussion About Instrument and Handout	• Transitions (Exercise Number 13, *FD* 2) • Some Strategies for Managing Major Life Transitions (Handout Number 5, *FD* 2)	3 hours

Document 7-5

Title: MODEL-NETICS: A Management Training Program*

Source: Daniel Pilon, c/o MODEL-NETICS, The Council for the Advancement of Small Colleges, Suite 320, One Dupont Circle, Washington, D.C. 20036

General Description:

In 1977 about seventy-five representatives of CASC institutions—presidents, senior administrators, academic deans, and others—completed a series of seminars dealing with a unique management language called MODEL-NETICS. The educators spent about forty hours in the formal classroom setting, matched by a similar commitment to self-study, during the course of these seminars in taking the Basic Course in MODEL-NETICS—a proprietary, copyrighted program of Main Event Management Corporation.

Although this is by no means the first expression of interest by nonprofit organizations in what is generally regarded as a businessman's approach to management training for managers, it was surely the most thorough exploration by academia into the corporate version of educating its own. Thousands of business organization employees have enrolled in the MODEL-NETICS program during the '70s; they represent senior and middle management, as well as supervisors and clerical staff of banks, airlines, utilities, manufacturers, software firms, insurance companies, etc.—a host of diverse business organizations throughout the United States as well as Canada, Great Britain, and most recently Japan and Spain.

They have been joined in their pursuit of a management language called MODEL-NETICS by large employee groupings of nonprofit organizations—principally, departmental units of state governments, units within state college systems, and some local school systems.

Both business and nonprofit organizations are sponsoring the MODEL-NETICS program for their employees in order to achieve greater organizational productivity by helping the individual to become more effective and efficient. The growing participation of educational institutions in the program stems from an increasing awareness that resources are always in short supply and that any program that can increase productivity in business might have similar application for the highly specialized and widely diversified management of the college's administrative and academic affairs.

While this is their primary motivation, educators are also intrigued with the program because of its approach to the educational process. The same techniques used by the program to develop management skills and increase productivity can be adapted to other jobs, to other instructional situations, on the campus. Rather than presenting the content of the program itself, this document is a brief description of techniques and the educational approach of the MODEL-NETICS program.

---

*Prepared by Michael J. Poulas and Richard W. Marsh of the California-Western Life Insurance Company, Sacramento, California. Based on concepts developed by Harold Hook and incorporated in the training programs of the Main Event Management Corporation, P.O. Box 215017, Sacramento, California 95817.

The MODEL-NETICS Program

The MODEL-NETICS program combines the content of three types of development programs: management development, communication, and organizational development. Through the use of models, conceptual ideas and theory are translated into practical, operational tools.

The program is organized around 151 models, which function as guides to thought and action. Each model deals with a discrete idea or concept that can be classified into one or more general management subjects: management process, delegation, planning, control, change, problem solving and decision making, motivation, learning and training, communication, selection-evaluation, compensation, and leadership. These 151 models are the building blocks in the MODEL-NETICS system. They are often likened to the letters of the alphabet; as the individual becomes familiar with the models—in effect, gains control of the alphabet—the models can then be combined and related to one another in almost endless permutations to form a management language.

The MODEL-NETICS program was developed over a fifteen-year period by Harold S. Hook. The program is proprietary in that there is a fee consideration for those organizations that acquire it for their personnel, but it can accurately be termed an avocation for Hook—an imaginative student of the science and philosophy of management. Hook is chairman and president of American General Insurance Company (Houston, Texas), one of America's major financial services companies, which conducts its business through thirty-eight subsidiaries.

Hook introduced the model approach to teaching the system following his discovery that very little of the management information he was delivering by the traditional lecture approach, working from notes, was being retained by his students (managers in a midwestern insurance firm). Hook believes strongly that the manager manages in real-time: he is involved in a continuous, dynamic process where his action or lack of action affects the situation in the next moment of time. This being true, Hook reasoned that management is not so much a function of knowledge as it is a function of control. Consequently, he reversed the process. Instead of building a simple idea into an hour's presentation, he distilled, refined, and boiled down key management principles and concepts from a library of more than 600 reference books on management and management-related subjects to the 151 models that constitute the MODEL-NETICS system. The models serve as memory devices or memory joggers; each one encapsulates a key management idea; each one deals with a specific management problem or activity; each one triggers a line of reasoning leading to management decision.

Models as Memory Devices

The model as a memory device is the fundamental teaching-learning approach of the Basic Course in MODEL-NETICS. A host of other carefully designed techniques are used to enhance the learning process, ranging from scheduling of sessions to methods of presentation. An intense program for the training of instructors takes place at the Main Event Management Institute in Sacramento, California. Care is taken in the training of instructors and in the actual teaching of the Basic Course to the sponsoring organization's personnel. This care is reflected in exceptionally high rates of course content recall after completion of the standard twenty-week course schedule and when recall tests have been administered after one and two years.

The 151 models or memory joggers in the system can be classified in terms of three recall mechanisms: (a) models based on widely recognized principles, theories, discoveries, (b) catchword models, and (c) diagramatic and/or graphic models.

Following are several examples of how the models act as aids to recall in each of these broad categories.

1. *Models Based on Widely Recognized Principles, Theories, Discoveries.*

About one-fifth of the 151 models in the system are closely linked to principles, discoveries, and theories in the physical sciences, or to the works of philosophers, psychologists, and historians. The linkage of the model to the source is direct, by precept, or by the more indirect route of analogy.

Heisenberg Principle

51.
HEISENBERG PRINCIPLE

Relatively few who engage in the Basic Course in MODEL-NETICS are aware of the work of the late German physicist Werner Heisenberg or of his Principle of Uncertainty. So a model called Heisenberg Principle would seem to offer few handholds to the MODEL-NETICS student as a memory jogger. Yet the model is readily recalled. Heisenberg's experiments in simultaneously determining the position and velocity of a particle are interesting in themselves; his conclusion that the act of observation influences that which is being measured—the Principle of Uncertainty—heightens the interest of the learners. When the psychological implications of Heisenberg's work become evident, there is usually an "aha" reaction on the part of learner.

The manager taking the Basic Course has just been handed an effective operational tool; he has learned that measurement exerts a psychological influence on those being measured and thus affects operating results. He has learned that managers get what they inspect, not necessarily what they expect. This is a simple but powerful idea, based on a physicist's discovery. Once exposed to the Heisenberg Principle model, the manager has an immediate and lasting link to a valuable operational tool.

Freudian Hydraulic

47.
FREUDIAN HYDRAULIC

Freudian Hydraulic, a model which is introduced in a session on change, triggers rapid recall of a body of information but for somewhat different reasons. The model is based heavily on an analogy to Newton's Third Law, which states that for every action there is an opposite and equal reaction—a physical law that most people have carried with them since high school physics. This model introduces a twist to the physical law by exploring its psychological (Freudian) implications. The model suggests that when a psychological force or pressure is applied to others, there is not the "opposite and equal reaction" of Newton's Third Law, but a psychological reaction of unpredictable magnitude.

Here indeed is a sobering, and perhaps revelatory, idea for the manager whose success or failure depends heavily on his ability to delegate responsibility and to introduce changes among the subordinates who report to him. The Freudian Hydraulic model becomes an unforgettable reminder that there are ways to influence behavior short of using authoritarian pressure—and perhaps explains the abnormal resistance and aberrant behavior that have greeted such attempts in the past.

Pareto's Law, Parkinson's Laws, Northwind Theory, Psychic Radar, and History Fusion Triangle are examples of other models that lend themselves to easy recall because of their relationship to well-accepted principles and theories.

2. *Catchword Models.*

In an article "Catchwords Become a Management Technique," *Business Week* (December 15, 1975, p. 77) referred to the MODEL-NETICS program as "a collection of 151 slogans, catchwords, and symbols aimed at helping an executive learn and remember management principles and techniques." Certainly "catchwords" is an apt description for the title nomenclature of many of the 151 models in the system. Sometimes termed gimmicky, these model-titles lean heavily on colloquialisms and slang, and sometimes impress the ear and eye as contrived—and their author cheerfully admits that this was deliberately done to ensure high recall of the model content.

Model titles in this grouping include some word combinations that communicate little or nothing about the idea of the model but are "catchy." More often, they say enough, colorfully and strongly, to remind the student of the quite serious and relevant concept that the model represents. Among these are:

(a) **Change Curve**—which speaks to the decrease in productivity and/or attitude that usually follows the implementation of a change before the desired increase in productivity/attitude is achieved.

(b) **Action T.N.T.**—the idea that action—today-not-tomorrow—is a key to high accomplishment.

(c) **Army Game**—the "game" subordinates play when they do only what they are told to.

(d) **Encore Problem**—the problem of equalling or improving past performance in the future.

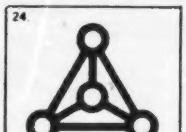
(e) **The Gun**—an illustration of the consequences to the problem solver who is solving the problems that he or she created.

(f) **Opportunity Wedge**—the idea that life is like a wedge, characterized by closing horizons and lost opportunities.

(g) **Yes Man Concept**—a play on the traditional idea of the "yes man," this model stresses that an organization's progress is dependent on having personnel in general agreement with that organization's strategy and tactics—and reinforces the key importance of initial identification and selection of those of the organization.

3. *Diagramatic and/or Graphic Models.*

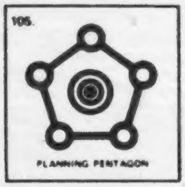
Of the 151 models in the system, 54 are geometric in shape or graphically depict the idea or concept at hand. Of the geometric-shaped models, several are "fusion triangles," connoting that there are three interrelated ideas or explanations that fuse together and explain the simple concept of the model. Others are diamond-shaped or pentagonal, which suggests a four-or five-part checklist of factors that must be kept in mind when analyzing the central idea of the model.



Model No. 24 in the system is titled the **Compensation Fusion Triangle** and is presented in a session on Selection/Evaluation/Compensation. Exposure to this model assists the individual in understanding that there are three basic components that must be present in any practicable, operational compensation program—important reminders to the employee who has responsibilities for the organization's compensation program or who is simply seeking to understand how his compensation is determined. The triangular shape of the model is a valuable reminder that job performance—often believed to be the only consideration in fixing compensation—is just one of three factors that must receive equal consideration.

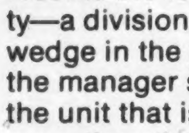
144.
TRAINING DIAMOND

Model No. 144, the **Training Diamond,** represents the idea that there are four interdependent factors to consider in every training situation. This idea is obvious, perhaps even simplistic; yet knowledge of the model offers the individual charged with developing a training program a checklist of four items to consider, one or two of which are often overlooked or taken for granted. Knowledge of the model also offers two steps to be followed in producing the best possible training program. Step one is the determination of which of the four factors is fixed (typically, the subject matter). Step two is the adjustment or rotation of the remaining factors around those that are fixed to produce an optimum training situation.



Planning is a management activity important to the success, or even survival, of any enterprise. Model No. 105, the **Planning Pentagon,** reminds the manager that there are five approaches to be considered in setting objectives; each of these considerations is as important to a dean in determining the objectives of a departmental program for the next academic year as it is to a marketing vice-president in determining annual corporate sales goals.

In planning objectives, managers frequently rely only on the projected results method; that is, they extrapolate from current results, adding a growth factor with which they can be comfortable (or "live with"). This is status quo planning. The five-part Planning Pentagon reminds us that four other approaches should also be used in fixing objectives: (a) competitor results (what other organizations in the same field are doing, and why), (b) resources (what can be accomplished with present resources), (c) opportunities (what could be accomplished without resource constraint), and (d) shareholder expectations (the expectations of the organization's controlling constituency—owners, trustees—for the next period of time). The "bull's-eye" in the center of the pentagon reminds the manager that results often turn out to be other than those that were planned and that awareness of this possibility enables the skilled manager to adjust and devise a realistic and positive plan to go with the results that actually occur.

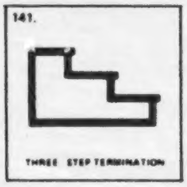


Another type of diagramatic model is the pictograph—a diagram that is a graphic representation of the process or concept the model is communicating. The pictograph approach to modeling is in wide international use for communication of traffic directions. It has proven itself as a basic communications and memory device.

Model No. 94, the **Organizing Pie,** demonstrates the use of the pictograph as a memory jogger in the MODEL-NETICS system. Once exposed to the pie-shaped diagram, which is introduced in a session on delegation, the manager is reminded that the circular "pie," including the wedge that is missing, represents the total mission, all that is to be done by that manager's unit of responsibility—a division, a department, a unit or subunit within the department. The missing wedge in the pie, almost inescapably, is that part of the total unit of responsibility that the manager selects to do himself. The balance of the pie, then, represents the work of the unit that is to be delegated to others (see Chapter 2). If "A" represents the manager, then the "B's" represent the subordinates who become responsible for their own slices of the pie—their own duties and functions.

104.
PLANNING PATH

The **Planning Path** model, No. 104, represents another kind of diagramatic model that is more schematic than pictographic. Once learned by the manager, it becomes an easily recalled mental picture of a plan—or more precisely, the anatomy of a plan. This mental picture of a plan is a convenient and easily recalled checklist of the six elements that must be present in any plan; lacking one or more of these elements, the plan is incomplete and either will not work or will be made to work at an excessive resource cost.



Because it deals with a problem that is freighted with potential trauma, Model No. 141, graphically depicting a staircase, provides the manager with instant recall on how to handle the problem of substandard performance. The three stairs in the diagram—descending, in the model context—remind the manager that termination is potentially involved in every substandard performance. At the same time the three steps are guidelines to a procedure of dealing with substandard performance that offers a way to correct the problem, short of termination. If termination becomes the only alternative, the same guidelines provide a positive, unemotional, and ethical way to proceed.

The MODEL-NETICS Format

In addition to the models themselves, the format of the Basic Course in MODEL-NETICS embodies a number of features that encourage assimilation of the material as it is being presented. The objective is to give the students the ability to learn the material in their own way and in their own terms—to create a series of "mental storage buckets" to receive the material being offered and also to act as receptacles for prior experiences that are relevant to the subject at hand. Following is a brief description of several unique features of the MODEL-NETICS Format.

1. *"Student-Written" Textbook.*

The individual's own experiences tend to cluster around the mental buckets that are created as the models are learned. This process reinforces and enriches the model concept as the manager uses the system in the day-to-day practice of management. Among the unique program features is the use of a "student-written" textbook. Upon enrolling in the Basic Course, the participant receives a Course Manual whose pages are blank. The most valuable of all textbooks is one that the participant writes, based on his own unique life experience, free of semantic loading, written in his own words, for his own use. The blank textbook approach ensures an active learning experience, particularly when combined with the "double entry" process of taking notes—a requirement imposed on all participants. Notes are made on a pad during the formal teaching sessions; then the participant, on a self-study basis, digests his notes and adds ideas from his personal experience. He then transfers these notes and ideas to the Course Manual, thereby writing his own textbook.

This procedure, which avoids the use of textbooks or "handouts" and requires the writing of two sets of notes, tends to produce active learning. It differs significantly from the passive reception of an instructor's lecture or of predigested notes; information is readily lost when the traditional classroom method of teaching and training is used.

2. *Pacing.*

Pacing is also an important and unique feature of the MODEL-NETICS program. Models are used to keep the participant's attention. In addition the normal classroom session in the Basic Course runs from sixty to seventy-five minutes. Typically, some of those taking the course feel this is too restrictive a time frame and that sessions could be two hours in length or even open-ended. Given the intensity of instruction, however, the Main Event Management staff recommends that each session last no longer than seventy-five minutes. Student fatigue often takes over at this point.

In the normal twenty-week course—one session per week for twenty weeks—approximately ten new models are presented during each session. After session preliminaries (review of the prior session and introduction of the current session), an average of five minutes remains for the presentation of each model. This five-minutes-per-model is well within the average participant's attention span. In most cases, some of the participants would like to linger longer on a model that has caught their fancy, perhaps to offer an example out of their own experience or to discuss a refinement that has occurred to them. In all cases, however, attention cannot wander before the next model comes along. Participants are faced with a "whole new ballgame" to challenge their interest.

3. *Instructor Input.*

In terms of classroom presentation, Main Event Management gives the instructor wide latitude in tailoring the basic course to the particular group being taught. About fifty percent of each session presentation is devoted to the standard content of the model—the MODEL-NETICS system. The other fifty percent is available to the instructor for his own input. For this reason, the MODEL-NETICS program has proved to be applicable to all kinds of organizations. If the course is being delivered to college administrative personnel, the examples, illustrations, trivia, and stories that the instructor adds to reinforce and spotlight the central model concept are germane to college administration.

The course as it is taught on campus, then, will be quite different from the course that the training officer of a bank delivers to bank managers or that the personnel director of a manufacturing plant delivers to that plant's foreman. In the same way, the course delivered to the senior management group of an organization would be quite different from the course presented to that organization's first line supervisors. This built-in instructor latitude for localizing, personalizing, and shaping the material to the student's experiences has the added benefit of avoiding instructor boredom. The instructor who is presenting the course for the fifth time has the opportunity—and challenge—of making the presentation just as interesting and exciting for students as in his first presentation of the course.

A corollary feature, in terms of instructor-student interest, is that the Basic Course is taught without reference notes. This requirement of all instructors prevents them from taking the material for granted, from feeling that they "know it" when in fact they are not in control of the material. The quality of instruction is maintained, and the delivery does not become perfunctory when the instructor cannot refer to a set of notes.

4. *Participation.*

Wherever possible, and as time allows, instructors are encouraged to use the Socratic method in presenting the Basic Course. Class participation, leading to self-discovery of the concepts embodied in the models, not only challenges the participants and makes for a stimulating classroom environment, but also offers an active learning experience and a corresponding retention of the material. The Main Event Management training institutes stress student participation and offer coaching and techniques to develop this instructor skill.

5. *Absence of Tests.*

Main Event Management® discourages testing in the belief that the benefits derived—namely, feedback to the instructor and "encouragement" of the student effort—are achieved at a price. Many adults feel threatened by tests, and such feelings inhibit the learning process. Furthermore, most organizations' compensation and advancement are related to contribution and not to performance in development programs. Confusing this issue by testing can create unnecessary expectations and disappointments and thereby undermine the perceived value of the program.

6. *Redundancy.*

Some redundancy has been built into the program to make certain that key concepts are communicated. This redundancy is a recognition that each individual in the classroom has a unique body of knowledge, based on a unique lifetime of experiences. Some individuals may not absorb the idea of one model but will understand the same idea when presented from the different perspective of a companion model.

Concluding Comments

The 151 models used in this management course survived an elimination process in which hundreds of models were considered. The selection of the 151 was based on their universal applicability to all kinds of organizational structures and was based also on criticality of model content—the capability of the model to help the manager deal with the main events of management. It is this characteristic of criticality, combined with the teaching techniques and the memorable nomenclature and graphics of the models themselves, that heavily impacts the learner on initial exposure and that also gives the system its high incidence of recall. The increased use of MODEL-NETICS in American higher education may yield an increased capacity on the part of college and university administrations to deal effectively with the management problems they face.